

LEGISLATIVE BRANCH APPROPRIATIONS FOR 2021

HEARINGS BEFORE THE COMMITTEE ON APPROPRIATIONS HOUSE OF REPRESENTATIVES ONE HUNDRED SIXTEENTH CONGRESS SECOND SESSION

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MATT WASHINGTON and SUE QUANTIUS
Subcommittee Staff

PART 1

JUSTIFICATION OF THE BUDGET ESTIMATES



Printed for the use of the Committee on Appropriations

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A black and white photograph of the U.S. Capitol building. The image shows the iconic dome and a set of wide stone steps leading up to the entrance. A metal railing runs along the left side of the steps. The sky is filled with clouds. A dark rectangular box is overlaid on the left side of the image, containing the title text.

FY 2021

**U.S. HOUSE OF REPRESENTATIVES
BUDGET JUSTIFICATION**



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FISCAL YEAR 2021 BUDGET JUSTIFICATION SUMMARY

For salaries and expenses of the House of Representatives, \$1.531 billion (excluding Mandatory and Joint Items) which is \$160.080 million or 11.68% above the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

Mandatory (Personnel & Benefits) Changes: Increase of \$92.486 million

The FY21 Personnel increase for U.S. House of Representatives Salaries and Expenses (excluding Joint Items) are attributed to variances in following categories:

- Personnel Compensation Base - \$17.528 million
- Base Adjustment - \$18.914 million
- Personnel Benefits - \$45.623 million
- Cost of Living Adjustments (COLAs) - \$7.608 million
 - COLAs were applied to positions that are included within the House Employees Schedule or at the discretion of the approving House Officers and other House Officials for the respective accounts. COLAs were not applied to positions cited within the Speaker's Pay Order.
- Longevity Increases - \$1.102 million
 - Longevity Increases were applied to positions that are included within the House Employees Schedule or at the discretion of the approving House Officers and other House Officials for the respective accounts. Longevitys were not applied to positions cited within the Speaker's Pay Order.
- Meritorious Increases - \$0.181 million
- Overtime Pay - \$1.530 million
- Reclassifications - \$0.000 million

House Positions Summary

US House of Representatives Accounts (excluding Joint Items)	FY20	FY21	
	Positions	Positions	Variance
Total - House Leadership Offices	245	245	0
Total - Members' Representational Allowances	9,702	9,702	0
Total - Intern Allowance for Member Offices *	-	-	-
Total - Intern Allowance for House Leadership Offices *	-	-	-
Total - Standing Committees, Special and Select	1,449	1,449	0
Total - Committee on Appropriations	220	220	0
Total - Salaries, Officers and Employees	1,262	1,316	54
Total - Allowances and Expenses	138	138	0
Total - Positions	13,016	13,070	54



FISCAL YEAR 2021 BUDGET JUSTIFICATION SUMMARY

** The authorization and appropriation leaves the number of positions in each office to the discretion of that office as within regulations prescribed by the Committee on House Administration.*

Price Level Increases: Increase of \$0.127 million

This non-personnel 2.50 percent increase was applied to various House Accounts throughout this request. This increase is the projected inflation factor per the Congressional Budget Office (CBO) for FY21.

Price Program Changes: Increase of \$67.467 million

Program changes show non-personnel variances as well as current staffing level changes. The following table summarizes the total program variance across House accounts:

US House of Representatives Accounts (excluding Joint Items)	FY20 Enacted (\$000)	FY21 Estimate (\$000)	Variance (\$000)
Total - House Leadership Offices	\$5,830	\$5,830	\$0
Total - Members' Representational Allowances	\$165,898	\$193,432	\$27,534
Total - Standing Committees, Special and Select	\$14,181	\$14,644	\$463
Total - Committee on Appropriations	\$2,251	\$2,335	\$84
Total - Salaries, Officers and Employees	\$97,695	\$127,933	\$30,238
Total - Allowances and Expenses	\$24,141	\$33,289	\$9,148
Total - Program Changes	\$309,996	\$377,464	\$67,467

House Three Year Comparative Summary Table

House Accounts	FY19	FY20	FY21	FY20 Enacted vs. FY21 Request	FY20 Enacted vs. FY21 Request
	Actuals	Enacted	Estimate	Net Change	% Change
Office of the Speaker	\$5,301,419	\$8,295,000	\$8,295,000	\$0	0.00%
Office of the Majority Floor Leader	\$1,831,774	\$2,947,000	\$2,947,000	\$0	0.00%
Office of the Minority Floor Leader	\$2,944,878	\$8,295,000	\$8,295,000	\$0	0.00%
Office of the Majority Whip	\$1,648,845	\$2,448,000	\$2,448,000	\$0	0.00%
Office of the Minority Whip	\$1,503,916	\$2,219,000	\$2,219,000	\$0	0.00%
Democratic Caucus	\$1,324,776	\$2,340,000	\$2,340,000	\$0	0.00%
Republican Conference	\$1,190,757	\$2,340,000	\$2,340,000	\$0	0.00%
Total - House Leadership Offices	\$15,746,365	\$28,884,000	\$28,884,000	\$0	0.00%
Total - Members' Representational Allowances	\$553,411,521	\$615,000,000	\$672,000,000	\$57,000,000	9.27%
Total - Intern Allowance for Member Offices	\$3,729,486	\$11,025,000	\$11,025,000	\$0	0.00%
Total - Intern Allowance for House Leadership Offices	\$0	\$365,000	\$365,000	\$0	0.00%
Standing Committees, Special and Select	\$117,810,174	\$132,509,000	\$135,000,000	\$2,491,000	1.88%
Hearing Room Renovations	\$4,660,856	\$2,850,000	\$3,100,000	\$250,000	8.77%
Total - Standing Committees, Special and Select	\$122,471,030	\$135,359,000	\$138,100,000	\$2,741,000	2.02%
Total - Committee on Appropriations	\$20,336,895	\$24,269,000	\$24,725,000	\$456,000	1.88%
Office of the Clerk	\$25,518,546	\$30,766,000	\$32,824,000	\$2,058,000	6.69%
Office of the Sergeant at Arms	\$15,342,492	\$20,225,000	\$26,086,000	\$5,861,000	28.98%
Office of the Chief Administrative Officer	\$119,150,629	\$153,550,000	\$190,236,000	\$36,686,000	23.89%
Office of Diversity and Inclusion	\$0	\$1,000,000	\$1,000,000	\$0	0.00%
Office of the Whistleblower Ombudsman	\$0	\$750,000	\$750,000	\$0	0.00%
Office of Inspector General	\$3,231,732	\$5,019,000	\$5,019,000	\$0	0.00%
Office of General Counsel	\$1,416,261	\$1,751,000	\$1,815,000	\$64,000	3.66%
Office of the Parliamentarian	\$1,760,958	\$2,088,000	\$2,088,000	\$0	0.00%
Office of the Law Revision Counsel	\$2,470,457	\$3,419,000	\$3,469,000	\$50,000	1.46%
Office of the Legislative Counsel	\$9,578,006	\$11,937,000	\$11,937,000	\$0	0.00%
Office of Interparliamentary Affairs	\$511,890	\$814,000	\$934,000	\$120,000	14.74%
Total - Other Authorized Employees	\$578,107	\$584,000	\$584,000	\$0	0.00%
Total - Salaries, Officers and Employees	\$179,559,079	\$231,903,000	\$276,742,000	\$44,839,000	19.34%
Supplies, Materials, Administrative Costs and Federal Tort Claims	\$168,477	\$1,526,000	\$1,555,000	\$29,000	1.90%
Official Mail for Committees, Leadership and Administrative Offices	\$63,915	\$190,000	\$190,000	\$0	0.00%
Government Contributions	\$240,862,971	\$294,377,000	\$340,000,000	\$45,623,000	15.50%
Business Continuity and Disaster Recovery	\$16,119,020	\$17,668,000	\$18,508,000	\$840,000	4.75%
Transition Activities	\$9,051,280	\$4,489,000	\$13,000,000	\$8,511,000	189.60%
Wounded Warrior Program	\$3,589,732	\$3,000,000	\$3,000,000	\$0	0.00%
Office of Congressional Ethics	\$1,133,044	\$1,670,000	\$1,711,000	\$41,000	2.46%
Miscellaneous Items	\$1,157,830	\$1,000,000	\$1,000,000	\$0	0.00%
Total - Allowances and Expenses	\$272,146,268	\$323,920,000	\$378,964,000	\$55,044,000	16.99%
Total - U.S. House of Representatives	\$1,167,400,645	\$1,370,725,000	\$1,530,805,000	\$160,080,000	11.68%

JOINT ITEMS					
Joint Committee on Taxation	\$10,367,369	\$11,563,000	\$11,905,000	\$342,000	2.96%
Office of Attending Physician	\$3,114,406	\$3,868,000	\$3,869,000	\$1,000	0.03%
Total - Joint Items	\$13,481,775	\$15,431,000	\$15,774,000	\$343,000	2.22%

Total - U.S. House of Reps and Joint Items	\$1,180,882,420	\$1,386,156,000	\$1,546,579,000	\$160,423,000	11.57%
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Schedule A - House Summary
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House of Representatives
House Summary - Mandatory Fund

	FY19	FY20	FY21	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change
	<u>Dollars (\$000)</u>	<u>Dollars (\$000)</u>	<u>Dollars (\$000)</u>	<u>Dollars (\$000)</u>
Payment to Widows and Heirs of Deceased Members of Congress	174	174	-	(174)

House Summary - Mandatory Fund by Object Class

	FY19	FY20	FY21	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change
	<u>Dollars (\$000)</u>	<u>Dollars (\$000)</u>	<u>Dollars (\$000)</u>	<u>Dollars (\$000)</u>
1100 Personnel Compensation	-	-	-	-
1200 Personnel Benefits	-	-	-	-
1300 Benefits to Former Personnel	174	174	-	(174)
2100 Travel	-	-	-	-
2200 Transportation of Things	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-
2400 Printing and Reproduction	-	-	-	-
2500 Other Services	-	-	-	-
2600 Supplies and Materials	-	-	-	-
3100 Equipment	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-
Payment to Widows and Heirs of Deceased Members of Congress	174	174	-	(174)

Schedule A - House Summary
Pg 2 of 3

House of Representatives
House Summary - Discretionary Funds

	FY19	FY20	FY21	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change
	<u>Dollars (\$000)</u>	<u>Dollars (\$000)</u>	<u>Dollars (\$000)</u>	<u>Dollars (\$000)</u>
Total - House Leadership Offices	15,746	28,884	28,884	-
Total - Members' Representational Allowances	553,412	615,000	672,000	57,000
Total - Intern Allowance for Member Offices	3,729	11,025	11,025	-
Total - Intern Allowance for House Leadership Offices	-	365	365	-
Total - Standing Committees, Special and Select	122,471	135,359	138,100	2,741
Total - Committee on Appropriations	20,337	24,269	24,725	456
Total - Salaries, Officers and Employees	179,559	231,903	276,742	44,839
Total - Allowances and Expenses	272,146	323,920	378,964	55,044
Total House of Representatives	1,167,401	1,370,725	1,530,805	160,080

House Summary - Discretionary Funds by Object Class

	FY19	FY20	FY21	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change
	<u>Dollars (\$000)</u>	<u>Dollars (\$000)</u>	<u>Dollars (\$000)</u>	<u>Dollars (\$000)</u>
1100 Personnel Compensation	703,023	766,352	813,581	47,229
1200 Personnel Benefits	240,612	294,432	340,055	45,623
1300 Benefits to Former Personnel	997	678	678	-
2100 Travel	24,653	29,346	31,138	1,792
2200 Transportation of Things	90	141	156	15
2300 Rent, Communications, Utilities	56,264	79,448	80,864	1,416
2400 Printing and Reproduction	8,534	26,528	26,547	19
2500 Other Services	57,506	85,550	121,178	35,628
2600 Supplies and Materials	31,125	23,971	29,420	5,448
3100 Equipment	44,568	64,271	87,181	22,910
4200 Insurance Claims/Indemnities	30	8	8	-
Total House of Representatives	1,167,401	1,370,725	1,530,805	160,080

Schedule A - House Summary
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House of Representatives
House Summary (Positions)

	FY19 Actuals	FY20 Enacted	FY21 Estimate	FY21 vs. FY20 Net Change
Payment to Widows and Heirs of Deceased Members of Congress	-	-	-	-
Total - House Leadership Offices	201	245	245	-
Total - Members' Representational Allowances	7,964	9,702	9,702	-
Total - Intern Allowance for Member Offices *	-	-	-	-
Total - Intern Allowance for House Leadership Offices *	-	-	-	-
Total - Standing Committees, Special and Select	1,201	1,449	1,449	-
Total - Committee on Appropriations	175	220	220	-
Total - Salaries, Officers and Employees	1,146	1,262	1,316	54
Total - Allowances and Expenses	89	138	138	-
Total House of Representatives	10,776	13,016	13,070	54

** The authorization and appropriation leaves the number of positions in each office to the discretion of that office as within regulations prescribed by the Committee on House Administration.*

Schedule A - Joint Items Summary
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House of Representatives
Joint Items Summary

	FY19 Actuals Dollars (\$000)	FY20 Enacted Dollars (\$000)	FY21 Estimate Dollars (\$000)	FY21 vs. FY20 Net Change Dollars (\$000)
Joint Committee on Taxation	10,367	11,563	11,905	342
Office of Attending Physician	3,114	3,868	3,869	1
Total - Joint Items	13,482	15,431	15,774	343

Joint Items Summary by Object Class

	FY19 Actuals Dollars (\$000)	FY20 Enacted Dollars (\$000)	FY21 Estimate Dollars (\$000)	FY21 vs. FY20 Net Change Dollars (\$000)
1100 Personnel Compensation	8,539	9,816	9,739	(77)
1200 Personnel Benefits	157	162	162	-
1300 Benefits to Former Personnel	-	-	-	-
2100 Travel	31	27	32	5
2200 Transportation of Things	-	-	-	-
2300 Rent, Communications, Utilities	166	183	205	22
2400 Printing and Reproduction	6	8	9	-
2500 Other Services	3,213	3,360	3,648	288
2600 Supplies and Materials	687	1,060	1,050	(10)
3100 Equipment	682	815	930	115
4200 Insurance Claims/Indemnities	-	-	-	-
Total - Joint Items	13,482	15,431	15,774	343

Schedule A - Joint Items Summary
Pg 2 of 2

House of Representatives
Joint Items Summary (Positions)

	FY19 Actuals	FY20 Enacted	FY21 Estimate	FY21 vs. FY20 Net Change
Joint Committee on Taxation	64	77	77	-
Office of Attending Physician	[18]	[18]	[18]	-
Total - Joint Items	64	77	77	-

Schedule A - House and Joint Items Summary
Pg 1 of 3

House of Representatives
House and Joint Items Summary

	FY19 Actuals Dollars (\$000)	FY20 Enacted Dollars (\$000)	FY21 Estimate Dollars (\$000)	FY21 vs. FY20 Net Change Dollars (\$000)
Payment to Widows and Heirs of Deceased Members of Congress	174	174	-	(174)
Total - House Leadership Offices	15,746	28,884	28,884	-
Total - Members' Representational Allowances	553,412	615,000	672,000	57,000
Total - Intern Allowance for Member Offices	3,729	11,025	11,025	-
Total - Intern Allowance for House Leadership Offices	-	365	365	-
Total - Standing Committees, Special and Select	122,471	135,359	138,100	2,741
Total - Committee on Appropriations	20,337	24,269	24,725	456
Total - Salaries, Officers and Employees	179,559	231,903	276,742	44,839
Total - Allowances and Expenses	272,146	323,920	378,964	55,044
Total House of Representatives	1,167,575	1,370,899	1,530,805	159,906
Joint Items-House				
Joint Committee on Taxation	10,367	11,563	11,905	342
Office of Attending Physician	3,114	3,868	3,869	1
Total - Joint Items	13,482	15,431	15,774	343
Total House and Joint	1,181,056	1,386,330	1,546,579	160,249

Schedule A - House and Joint Items Summary
Pg. 2 of 3

House of Representatives
House and Joint Items Summary

	FY19 Actuals Dollars (\$000)	FY20 Enacted Dollars (\$000)	FY21 Estimate Dollars (\$000)	FY21 vs. FY20 Net Change Dollars (\$000)
1100 Personnel Compensation	711,562	776,168	823,320	47,152
1200 Personnel Benefits	240,768	294,594	340,217	45,623
1300 Benefits to Former Personnel	1,171	852	678	(174)
2100 Travel	24,684	29,373	31,170	1,798
2200 Transportation of Things	90	141	156	15
2300 Rent, Communications, Utilities	56,430	79,631	81,069	1,438
2400 Printing and Reproduction	8,540	26,536	26,555	19
2500 Other Services	60,719	88,910	124,826	35,916
2600 Supplies and Materials	31,813	25,031	30,469	5,438
3100 Equipment	45,250	65,086	88,110	23,025
4200 Insurance Claims/Indemnities	30	8	8	-
Total House and Joint	1,181,056	1,386,330	1,546,579	160,249

Schedule A - House and Joint Items Summary

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House of Representatives
House and Joint Items Summary (Positions)

	FY19 Actuals	FY20 Enacted	FY21 Estimate	FY21 vs. FY20 Net Change
Payment to Widows and Heirs of Deceased Members of Congress	-	-	-	-
Total - House Leadership Offices	201	245	245	-
Total - Members' Representational Allowances	7,964	9,702	9,702	-
Total - Intern Allowance for Member Offices *	-	-	-	-
Total - Intern Allowance for House Leadership Offices *	-	-	-	-
Total - Standing Committees, Special and Select	1,201	1,449	1,449	-
Total - Committee on Appropriations	175	220	220	-
Total - Salaries, Officers and Employees	1,146	1,262	1,316	54
Total - Allowances and Expenses	89	138	138	-
Total - House of Representatives	10,776	13,016	13,070	54
Joint Items-House				
Joint Committee on Taxation	64	77	77	-
Office of Attending Physician	[18]	[18]	[18]	-
Total - Joint Items	64	77	77	-
Total House and Joint Items	10,840	13,093	13,147	54

** The authorization and appropriation leaves the number of positions in each office to the discretion of that office as within regulations prescribed by the Committee on House Administration.*

Schedule A - Payment to Widows and Heirs of Deceased Members of Congress

House of Representatives
Payment to Widows and Heirs of Deceased Members of Congress
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	-	-	-	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	174	174	-	(174)	(100.00%)
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	-	-	-	-	-
2600 Supplies and Materials	-	-	-	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	174	174	-	(174)	(100.00%)
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	-	-	-	-	-

A gratuity of \$174,000 was authorized to Maya M. Rockey Moore, widow of Elijah E. Cummings, late Representative from the State of Maryland, in P.L. 116-69, The Further Continuing Appropriations Act, 2020.

FY19 actuals reflect data as of September 30, 2019. A gratuity of \$174,000 was authorized to Joe Anne Jones, widow of Walter B. Jones, late Representative from the State of North Carolina, in P.L. 116-6, The Consolidated Appropriations Act, 2019.

Schedule C - Payment to Widows and Heirs of Deceased Members of Congress

House of Representatives
Detailed Analysis of Change by Organization
Payment to Widows and Heirs of Deceased Members of Congress

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	174	-	(174)	(100.00%)
Benefits to Former Personnel	174	-	(174)	(100.00%)
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	-	-	-	-
TOTAL	174	-	(174)	(100.00%)
POSITIONS	-	-	-	-

Schedule A - Salaries and Expenses

House of Representatives
Salaries and Expenses
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	703,023	766,352	813,581	47,229	6.16%
1200 Personnel Benefits	240,612	294,432	340,055	45,623	15.50%
1300 Benefits to Former Personnel	997	678	678	-	-
2100 Travel	24,653	29,346	31,138	1,792	6.11%
2200 Transportation of Things	90	141	156	15	10.63%
2300 Rent, Communications, Utilities	56,264	79,448	80,864	1,416	1.78%
2400 Printing and Reproduction	8,534	26,528	26,547	19	0.07%
2500 Other Services	57,506	85,550	121,178	35,628	41.65%
2600 Supplies and Materials	31,125	23,971	29,420	5,448	22.73%
3100 Equipment	44,568	64,271	87,181	22,910	35.65%
4200 Insurance Claims/Indemnities	30	8	8	-	-
TOTAL	1,167,401	1,370,725	1,530,805	160,080	11.68%
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
POSITIONS	10,776	13,016	13,070	54	0.41%

Schedule C - Salaries and Expenses

House of Representatives
Detailed Analysis of Change by Organization
Salaries and Expenses

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	1,060,729	1,153,214	92,486	8.72%
Personnel Base	766,352	783,880	17,528	2.29%
Base Adjustment	-	18,914	18,914	-
Cost of Living Adjustment Annualized	-	2,125	2,125	-
Cost of Living Adjustment	-	5,483	5,483	-
Overtime Pay	-	1,530	1,530	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	1,102	1,102	-
Meritorious Increase	-	181	181	-
Accrued Leave	-	-	-	-
Personnel Benefits	294,377	340,000	45,623	15.50%
B. PRICE LEVEL INCREASES	-	127	127	-
C. PROGRAM CHANGES	309,996	377,464	67,467	21.76%
Total - House Leadership Offices	5,830	5,830	-	-
Total - Members' Representational Allowances	165,898	193,432	27,534	16.60%
Total - Intern Allowance for Member Offices	-	-	-	-
Total - Intern Allowance for Leadership Offices	-	-	-	-
Total - Standing Committees, Special and Select	14,181	14,644	463	3.26%
Total - Committee on Appropriations	2,251	2,335	84	3.73%
Total - Salaries, Officers and Employees	97,695	127,933	30,238	30.95%
Total - Allowances and Expenses	24,141	33,289	9,148	37.89%
TOTAL	1,370,725	1,530,805	160,080	11.68%
POSITIONS	13,016	13,070	54	0.41%

Schedule A - Office of the Speaker

House of Representatives
Office of the Speaker
By Object Class

	FY19 Actuals Dollars (\$000)	FY20 Enacted Dollars (\$000)	FY21 Estimate Dollars (\$000)	FY21 vs. FY20 Net Change Dollars (\$000)	FY21 vs. FY20 Net Change Percent %
1100 Personnel Compensation	4,713	6,896	6,896	-	-
1200 Personnel Benefits	-	25	25	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	71	108	108	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	89	195	195	-	-
2400 Printing and Reproduction	38	60	60	-	-
2500 Other Services	133	430	430	-	-
2600 Supplies and Materials	230	438	438	-	-
3100 Equipment	28	143	143	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	5,301	8,295	8,295	-	-
	FY19 Actuals	FY20 Enacted	FY21 Estimate	FY21 vs. FY20 Net Change	FY21 vs. FY20 Net Change %
Positions	61	62	62	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending. Leadership FY19 funding period of availability was January 3, 2019 to January 2, 2020.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation. Leadership funding period of availability is January 3, 2020 to January 2, 2021.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Office of the Speaker

House of Representatives
Detailed Analysis of Change by Organization
Office of the Speaker

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	<u>Dollars (\$000)</u>	<u>Dollars (\$000)</u>	<u>Dollars (\$000)</u>	<u>Percent %</u>
A. MANDATORY CHANGE	6,896	6,896	-	-
Personnel Base	6,896	6,896	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	1,399	1,399	-	-
Non-Personnel Official Expenses	1,374	1,374	-	-
Leadership Official Expenses	25	25	-	-
TOTAL	8,295	8,295	-	-
POSITIONS	62	62	-	-

Explanation of Changes Shown on Schedule C

House Leadership Offices
Office of the Speaker

For salaries and expenses of the Office of the Speaker, \$8,295,000. The fiscal year (FY) 2021 budget request is flat with the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$6,896,000 for mandatory items, no price level increases, \$1,399,000 for program current services and no program changes.

I. Personnel Details: FY21 Request - \$6,896,000A. Base: \$6,896,000

- i. The estimated FY20 personnel compensation will be \$6,896,000.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized (Non-Statutory Positions) - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated (Non-Statutory Positions) - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized (Non-Statutory Positions) - \$0
- ii. FY21 Cost of Living Prorated (Non-Statutory Positions) - \$0
- iii. FY21 Overtime (Non-Statutory Positions) - \$0
- iv. FY21 Reclassifications (Non-Statutory Positions) - \$0
- v. FY21 Temporary Positions (Non-Statutory Positions) - \$0
- vi. FY21 Longevity (Non-Statutory Positions) - \$0
- vii. FY21 Meritorious Increase (Non-Statutory Positions) - \$0
- viii. FY21 Accrued Leave (Non-Statutory Positions) - \$0
- ix. FY21 Personnel Benefits (Non-Statutory Positions) - \$0
- x. FY21 Base Adjustment (Non-Statutory Positions) - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$1,399,000

A. Current Services:

- i. Non-Personnel Official Expenses - \$1,374,000
This account provides the necessary funding for the Office of the Speaker's non-personnel expenses.
- ii. Leadership Official Expenses - \$25,000
This funds the Speaker's allowance used for official expenses.

B. Proposed Changes:

- i. Non-Personnel Official Expenses - \$0
- ii. Leadership Official Expenses - \$0

Schedule A - Office of the Majority Floor Leader

House of Representatives
Office of the Majority Floor Leader
By Object Class

	FY19 Actuals Dollars (\$000)	FY20 Enacted Dollars (\$000)	FY21 Estimate Dollars (\$000)	FY21 vs. FY20 Net Change Dollars (\$000)	FY21 vs. FY20 Net Change Percent %
1100 Personnel Compensation	1,555	2,343	2,343	-	-
1200 Personnel Benefits	-	10	10	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	24	52	52	-	-
2400 Printing and Reproduction	2	6	6	-	-
2500 Other Services	230	358	358	-	-
2600 Supplies and Materials	14	121	121	-	-
3100 Equipment	7	57	57	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	1,832	2,947	2,947	-	-
	FY19 Actuals	FY20 Enacted	FY21 Estimate	FY21 vs. FY20 Net Change	FY21 vs. FY20 Net Change %
Positions	23	34	34	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending. Leadership FY19 funding period of availability was January 3, 2019 to January 2, 2020.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation. Leadership funding period of availability is January 3, 2020 to January 2, 2021.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Office of the Majority Floor Leader

House of Representatives
Detailed Analysis of Change by Organization
Office of the Majority Floor Leader

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	<u>Dollars (\$000)</u>	<u>Dollars (\$000)</u>	<u>Dollars (\$000)</u>	<u>Percent %</u>
A. MANDATORY CHANGE	2,343	2,343	-	-
Personnel Base	2,343	2,343	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	604	604	-	-
Non-Personnel Official Expenses	594	594	-	-
Leadership Official Expenses	10	10	-	-
TOTAL	2,947	2,947	-	-
POSITIONS	34	34	-	-

Explanation of Changes Shown on Schedule C

House Leadership Offices
Office of the Majority Floor Leader

For salaries and expenses of the Office of the Majority Floor Leader, \$2,947,000. The fiscal year (FY) 2021 budget request is flat with the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$2,343,000 for mandatory items, no price level increases, \$604,000 for program current services and no program changes.

I. Personnel Details: FY21 Request - \$2,343,000A. Base: \$2,343,000

- i. The estimated FY20 personnel compensation will be \$2,343,000.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized (Non-Statutory Positions) - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated (Non-Statutory Positions) - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized (Non-Statutory Positions) - \$0
- ii. FY21 Cost of Living Prorated (Non-Statutory Positions) - \$0
- iii. FY21 Overtime (Non-Statutory Positions) - \$0
- iv. FY21 Reclassifications (Non-Statutory Positions) - \$0
- v. FY21 Temporary Positions (Non-Statutory Positions) - \$0
- vi. FY21 Longevity (Non-Statutory Positions) - \$0
- vii. FY21 Meritorious Increase (Non-Statutory Positions) - \$0
- viii. FY21 Accrued Leave (Non-Statutory Positions) - \$0
- ix. FY21 Personnel Benefits (Non-Statutory Positions) - \$0
- x. FY21 Base Adjustment (Non-Statutory Positions) - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$604,000

A. Current Services:

i. Non-Personnel Official Expenses - \$594,000

This account provides the necessary funding for the Office of the Majority Leader's non-personnel expenses.

ii. Leadership Official Expenses - \$10,000

This funds the Majority Leader's allowance used for official expenses.

B. Proposed Changes:

i. Non-Personnel Official Expenses - \$0

ii. Leadership Official Expenses - \$0

Schedule A - Office of the Minority Floor Leader

House of Representatives
Office of the Minority Floor Leader
By Object Class

	FY19 Actuals Dollars (\$000)	FY20 Enacted Dollars (\$000)	FY21 Estimate Dollars (\$000)	FY21 vs. FY20 Net Change Dollars (\$000)	FY21 vs. FY20 Net Change Percent %
1100 Personnel Compensation	2,551	6,788	6,788	-	-
1200 Personnel Benefits	-	10	10	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	1	12	12	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	34	200	200	-	-
2400 Printing and Reproduction	7	60	60	-	-
2500 Other Services	61	450	450	-	-
2600 Supplies and Materials	67	450	450	-	-
3100 Equipment	38	325	325	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	2,758	8,295	8,295	-	-
	FY19 Actuals	FY20 Enacted	FY21 Estimate	FY21 vs. FY20 Net Change	FY21 vs. FY20 Net Change %
Positions	36	55	55	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending. Leadership FY19 funding period of availability was January 3, 2019 to January 2, 2020.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation. Leadership funding period of availability is January 3, 2020 to January 2, 2021.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Office of the Minority Floor Leader

House of Representatives
Detailed Analysis of Change by Organization
Office of the Minority Floor Leader

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	6,788	6,788	-	-
Personnel Base	6,788	6,788	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	1,507	1,507	-	-
Non-Personnel Official Expenses	1,497	1,497	-	-
Leadership Official Expenses	10	10	-	-
TOTAL	8,295	8,295	-	-
POSITIONS	55	55	-	-

Explanation of Changes Shown on Schedule C

House Leadership Offices
Office of the Minority Floor Leader

For salaries and expenses of the Office of the Minority Floor Leader, \$8,295,000. The fiscal year (FY) 2021 budget request is flat with the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$6,788,000 for mandatory items, no price level increases, \$1,507,000 for program current services and no program changes.

I. Personnel Details: FY21 Request - \$6,788,000A. Base: \$6,788,000

- i. The estimated FY20 personnel compensation will be \$6,788,000.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized (Non-Statutory Positions) - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated (Non-Statutory Positions) - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized (Non-Statutory Positions) - \$0
- ii. FY21 Cost of Living Prorated (Non-Statutory Positions) - \$0
- iii. FY21 Overtime (Non-Statutory Positions) - \$0
- iv. FY21 Reclassifications (Non-Statutory Positions) - \$0
- v. FY21 Temporary Positions (Non-Statutory Positions) - \$0
- vi. FY21 Longevity (Non-Statutory Positions) - \$0
- vii. FY21 Meritorious Increase (Non-Statutory Positions) - \$0
- viii. FY21 Accrued Leave (Non-Statutory Positions) - \$0
- ix. FY21 Personnel Benefits (Non-Statutory Positions) - \$0
- x. FY21 Base Adjustment (Non-Statutory Positions) - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$1,507,000

A. Current Services:

i. Non-Personnel Official Expenses - \$1,497,000

This account provides the necessary funding for the Office of the Minority Floor Leader's non-personnel expenses.

ii. Leadership Official Expenses - \$10,000

This funds the Minority Leader's allowance used for official expenses.

B. Proposed Changes:

i. Non-Personnel Official Expenses - \$0

ii. Leadership Official Expenses - \$0

Schedule A - Office of the Majority Whip

House of Representatives
Office of the Majority Whip
By Object Class

	FY19 Actuals Dollars (\$000)	FY20 Enacted Dollars (\$000)	FY21 Estimate Dollars (\$000)	FY21 vs. FY20 Net Change Dollars (\$000)	FY21 vs. FY20 Net Change Percent %
1100 Personnel Compensation	1,381	1,949	1,949	-	-
1200 Personnel Benefits	-	5	5	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	1	3	3	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	15	26	26	-	-
2400 Printing and Reproduction	10	12	12	-	-
2500 Other Services	111	248	248	-	-
2600 Supplies and Materials	104	172	172	-	-
3100 Equipment	27	33	33	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	1,649	2,448	2,448	-	-
	FY19 Actuals	FY20 Enacted	FY21 Estimate	FY21 vs. FY20 Net Change	FY21 vs. FY20 Net Change %
Positions	21	24	24	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending. Leadership FY19 funding period of availability was January 3, 2019 to January 2, 2020.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation. Leadership funding period of availability is January 3, 2020 to January 2, 2021.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Office of the Majority Whip

House of Representatives
Detailed Analysis of Change by Organization
Office of the Majority Whip

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	1,949	1,949	-	-
Personnel Base	1,949	1,949	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	499	499	-	-
Non-Personnel Official Expenses	494	494	-	-
Leadership Official Expenses	5	5	-	-
TOTAL	2,448	2,448	-	-
POSITIONS	24	24	-	-

Explanation of Changes Shown on Schedule C

House Leadership Offices
Office of the Majority Whip

For salaries and expenses of the Office of the Majority Whip, \$2,448,000. The fiscal year (FY) 2021 budget request is flat with the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$1,949,000 for mandatory items, no price level increases, \$499,000 for program current services and no program changes.

I. Personnel Details: FY21 Request - \$1,949,000A. Base: \$1,949,000

- i. The estimated FY20 personnel compensation will be \$1,949,000.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized (Non-Statutory Positions) - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated (Non-Statutory Positions) - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized (Non-Statutory Positions) - \$0
- ii. FY21 Cost of Living Prorated (Non-Statutory Positions) - \$0
- iii. FY21 Overtime (Non-Statutory Positions) - \$0
- iv. FY21 Reclassifications (Non-Statutory Positions) - \$0
- v. FY21 Temporary Positions (Non-Statutory Positions) - \$0
- vi. FY21 Longevity (Non-Statutory Positions) - \$0
- vii. FY21 Meritorious Increase (Non-Statutory Positions) - \$0
- viii. FY21 Accrued Leave (Non-Statutory Positions) - \$0
- ix. FY21 Personnel Benefits (Non-Statutory Positions) - \$0
- x. FY21 Base Adjustment (Non-Statutory Positions) - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$499,000

A. Current Services:

- i. Non-Personnel Official Expenses - \$494,000
This account provides the necessary funding for the Office of the Majority Whip's non-personnel expenses.
- ii. Leadership Official Expenses - \$5,000
This funds the Majority Whip's allowance used for official expenses.

B. Proposed Changes:

- i. Non-Personnel Official Expenses - \$0
- ii. Leadership Official Expenses - \$0

Schedule A - Office of the Minority Whip

House of Representatives
Office of the Minority Whip
By Object Class

	FY19 Actuals Dollars (\$000)	FY20 Enacted Dollars (\$000)	FY21 Estimate Dollars (\$000)	FY21 vs. FY20 Net Change Dollars (\$000)	FY21 vs. FY20 Net Change Percent %
1100 Personnel Compensation	1,381	1,991	1,991	-	-
1200 Personnel Benefits	-	5	5	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	7	9	9	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	20	39	39	-	-
2400 Printing and Reproduction	5	8	8	-	-
2500 Other Services	67	100	100	-	-
2600 Supplies and Materials	14	36	36	-	-
3100 Equipment	10	31	31	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	1,504	2,219	2,219	-	-
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	21	27	27	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending. Leadership FY19 funding period of availability was January 3, 2019 to January 2, 2020.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation. Leadership funding period of availability is January 3, 2020 to January 2, 2021.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Office of the Minority Whip

House of Representatives
Detailed Analysis of Change by Organization
Office of the Minority Whip

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	1,991	1,991	-	-
Personnel Base	1,991	1,991	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	228	228	-	-
Non-Personnel Official Expenses	223	223	-	-
Leadership Official Expenses	5	5	-	-
TOTAL	2,219	2,219	-	-
POSITIONS	27	27	-	-

Explanation of Changes Shown on Schedule C

House Leadership Offices
Office of the Minority Whip

For salaries and expenses of the Office of the Minority Whip, \$2,219,000. The fiscal year (FY) 2021 budget request is flat with the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$1,991,000 for mandatory items, no price level increases, \$228,000 for program current services and no program changes.

I. Personnel Details: FY21 Request - \$1,991,000A. Base: \$1,991,000

- i. The estimated FY20 personnel compensation will be \$1,991,000.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized (Non-Statutory Positions) - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated (Non-Statutory Positions) - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized (Non-Statutory Positions) - \$0
- ii. FY21 Cost of Living Prorated (Non-Statutory Positions) - \$0
- iii. FY21 Overtime (Non-Statutory Positions) - \$0
- iv. FY21 Reclassifications (Non-Statutory Positions) - \$0
- v. FY21 Temporary Positions (Non-Statutory Positions) - \$0
- vi. FY21 Longevity (Non-Statutory Positions) - \$0
- vii. FY21 Meritorious Increase (Non-Statutory Positions) - \$0
- viii. FY21 Accrued Leave (Non-Statutory Positions) - \$0
- ix. FY21 Personnel Benefits (Non-Statutory Positions) - \$0
- x. FY21 Base Adjustment (Non-Statutory Positions) - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$228,000

A. Current Services:

- i. Non-Personnel Official Expenses - \$223,000
This account provides the necessary funding for the Office of the Minority Whip's non-personnel expenses.
- ii. Leadership Official Expenses - \$5,000
This funds the Minority Whip's allowance used for official expenses.

B. Proposed Changes:

- i. Non-Personnel Official Expenses - \$0
- ii. Leadership Official Expenses - \$0

Schedule A - Democratic Caucus

House of Representatives
Democratic Caucus
By Object Class

	FY19 Actuals Dollars (\$000)	FY20 Enacted Dollars (\$000)	FY21 Estimate Dollars (\$000)	FY21 vs. FY20 Net Change Dollars (\$000)	FY21 vs. FY20 Net Change Percent %
1100 Personnel Compensation	973	1,575	1,575	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	18	30	30	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	92	146	146	-	-
2400 Printing and Reproduction	5	8	8	-	-
2500 Other Services	42	77	77	-	-
2600 Supplies and Materials	156	400	400	-	-
3100 Equipment	38	104	104	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	1,325	2,340	2,340	-	-
	FY19 Actuals	FY20 Enacted	FY21 Estimate	FY21 vs. FY20 Net Change	FY21 vs. FY20 Net Change %
Positions	20	22	22	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending. Leadership FY19 funding period of availability was January 3, 2019 to January 2, 2020.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation. Leadership funding period of availability is January 3, 2020 to January 2, 2021.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Democratic Caucus

House of Representatives
Detailed Analysis of Change by Organization
Democratic Caucus

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	1,575	1,575	-	-
Personnel Base	1,575	1,575	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	765	765	-	-
Non-Personnel Official Expenses	765	765	-	-
Leadership Official Expenses	-	-	-	-
TOTAL	2,340	2,340	-	-
POSITIONS	22	22	-	-

Explanation of Changes Shown on Schedule C

House Leadership Offices Democratic Caucus

For salaries and expenses of the Democratic Caucus, \$2,340,000. The fiscal year (FY) 2021 budget request is flat with the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$1,575,000 for mandatory items, no price level increases, \$765,000 for program current services and no program changes.

I. Personnel Details: FY21 Request - \$1,575,000

A. Base: \$1,575,000

- i. The estimated FY20 personnel compensation will be \$1,575,000.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized (Non-Statutory Positions) - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated (Non-Statutory Positions) - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized (Non-Statutory Positions) - \$0
- ii. FY21 Cost of Living Prorated (Non-Statutory Positions) - \$0
- iii. FY21 Overtime (Non-Statutory Positions) - \$0
- iv. FY21 Reclassifications (Non-Statutory Positions) - \$0
- v. FY21 Temporary Positions (Non-Statutory Positions) - \$0
- vi. FY21 Longevity (Non-Statutory Positions) - \$0
- vii. FY21 Meritorious Increase (Non-Statutory Positions) - \$0
- viii. FY21 Accrued Leave (Non-Statutory Positions) - \$0
- ix. FY21 Personnel Benefits (Non-Statutory Positions) - \$0
- x. FY21 Base Adjustment (Non-Statutory Positions) - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$765,000

A. Current Services:

- i. Non-Personnel Official Expenses - \$765,000
This account provides the necessary funding for the Office of the Democratic Caucus non-personnel expenses.
- ii. Leadership Official Expenses - \$0

B. Proposed Changes:

- i. Non-Personnel Official Expenses - \$0
- ii. Leadership Official Expenses - \$0

Schedule A - Republican Conference

House of Representatives
Republican Conference
By Object Class

	FY19 Actuals Dollars (\$000)	FY20 Enacted Dollars (\$000)	FY21 Estimate Dollars (\$000)	FY21 vs. FY20 Net Change Dollars (\$000)	FY21 vs. FY20 Net Change Percent %
1100 Personnel Compensation	993	1,512	1,512	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	1	5	5	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	17	41	41	-	-
2400 Printing and Reproduction	2	4	4	-	-
2500 Other Services	50	200	200	-	-
2600 Supplies and Materials	91	407	407	-	-
3100 Equipment	37	171	171	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	1,191	2,340	2,340	-	-
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	19	21	21	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending. Leadership FY19 funding period of availability was January 3, 2019 to January 2, 2020.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation. Leadership funding period of availability is January 3, 2020 to January 2, 2021.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Republican Conference

House of Representatives
Detailed Analysis of Change by Organization
Republican Conference

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	1,512	1,512	-	-
Personnel Base	1,512	1,512	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	828	828	-	-
Non-Personnel Official Expenses	828	828	-	-
Leadership Official Expenses	-	-	-	-
TOTAL	2,340	2,340	-	-
POSITIONS	21	21	-	-

Explanation of Changes Shown on Schedule C

House Leadership Offices Republican Conference

For salaries and expenses of the Republican Conference, \$2,340,000. The fiscal year (FY) 2021 budget request is flat with the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$1,512,000 for mandatory items, no price level increases, \$828,000 for program current services and no program changes.

I. Personnel Details: FY21 Request - \$1,512,000

A. Base: \$1,512,000

- i. The estimated FY20 personnel compensation will be \$1,512,000.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized (Non-Statutory Positions) - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated (Non-Statutory Positions) - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized (Non-Statutory Positions) - \$0
- ii. FY21 Cost of Living Prorated (Non-Statutory Positions) - \$0
- iii. FY21 Overtime (Non-Statutory Positions) - \$0
- iv. FY21 Reclassifications (Non-Statutory Positions) - \$0
- v. FY21 Temporary Positions (Non-Statutory Positions) - \$0
- vi. FY21 Longevity (Non-Statutory Positions) - \$0
- vii. FY21 Meritorious Increase (Non-Statutory Positions) - \$0
- viii. FY21 Accrued Leave (Non-Statutory Positions) - \$0
- ix. FY21 Personnel Benefits (Non-Statutory Positions) - \$0
- x. FY21 Base Adjustment (Non-Statutory Positions) - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$828,000

A. Current Services:

- i. Non-Personnel Official Expenses - \$828,000
This account provides the necessary funding for the Office of the Republican Conference non-personnel expenses.
- ii. Leadership Official Expenses - \$0

B. Proposed Changes:

- i. Non-Personnel Official Expenses - \$0
- ii. Leadership Official Expenses - \$0

Schedule A - Total - House Leadership Offices

House of Representatives
Total - House Leadership Offices
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	13,545	23,054	23,054	-	-
1200 Personnel Benefits	-	55	55	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	98	167	167	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	292	699	699	-	-
2400 Printing and Reproduction	68	158	158	-	-
2500 Other Services	695	1,863	1,863	-	-
2600 Supplies and Materials	676	2,024	2,024	-	-
3100 Equipment	185	864	864	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	15,559	28,884	28,884	-	-

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	201	245	245	-	-

Schedule C - Total - House Leadership Offices

House of Representatives
Detailed Analysis of Change by Organization
Total - House Leadership Offices

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	23,054	23,054	-	-
Personnel Base	23,054	23,054	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	5,830	5,830	-	-
Office of the Speaker	1,399	1,399	-	-
Office of the Majority Floor Leader	604	604	-	-
Office of the Minority Floor Leader	1,507	1,507	-	-
Office of the Majority Whip	499	499	-	-
Office of the Minority Whip	228	228	-	-
Democratic Caucus	765	765	-	-
Republican Conference	828	828	-	-
TOTAL	28,884	28,884	-	-
POSITIONS	245	245	-	-

Schedule A - Members' Representational Allowances

House of Representatives
Members' Representational Allowances
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	435,365	449,102	478,568	29,466	6.56%
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	21,377	26,000	27,000	1,000	3.85%
2200 Transportation of Things	5	12	8	(4)	(33.33%)
2300 Rent, Communications, Utilities	47,649	67,000	67,000	-	-
2400 Printing and Reproduction	8,234	26,000	26,000	-	-
2500 Other Services	18,438	23,886	35,000	11,114	46.53%
2600 Supplies and Materials	15,239	13,000	18,000	5,000	38.46%
3100 Equipment	7,105	10,000	20,424	10,424	104.24%
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	553,412	615,000	672,000	57,000	9.27%
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	7,964	9,702	9,702	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Members' Representational Allowances

House of Representatives
Detailed Analysis of Change by Organization
Members' Representational Allowances

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	449,102	478,568	29,466	6.56%
Personnel Base	449,102	463,954	14,852	3.31%
Base Adjustment	-	14,614	14,614	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	165,898	193,432	27,534	16.60%
Official Expenses	144,898	183,432	38,534	26.59%
Official Mail	21,000	10,000	(11,000)	(52.38%)
TOTAL	615,000	672,000	57,000	9.27%
POSITIONS	9,702	9,702	-	-

Explanation of Changes Shown on Schedule C

Members' Representational Allowances

For salaries and expenses of the Members' Representational Allowances, \$672,000,000. The fiscal year (FY) 2021 budget request is \$57,000,000 or 9.27% above the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$478,568,000 for mandatory items, no price level increases, \$165,898,000 for program current services and a \$27,534,000 increase in program changes.

I. Personnel Details: FY21 Request - \$478,568,000A. Base: \$463,954,000

- i. The estimated FY20 personnel compensation will be \$463,954,000.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$0
- ii. FY21 Cost of Living Prorated - \$0
- iii. FY21 Overtime - \$0
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$0
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$14,614,000
The increase in the MRA Base Adjustment is for planned increases in Members' Clerk Hire expenses.

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$193,432,000

A. Current Services:

i. Official Expenses - \$144,898,000

Official Expenses of the MRA are comprised of non-personnel items such as equipment, federal and private rent, telecommunications, printing and contract services.

ii. Official Mail - \$21,000,000

The Official Mail program covers all MRA mailing expenses from both the District and DC offices of all Members.

B. Proposed Changes

i. Official Expenses - \$38,534,000

Additional funding required for Official Expenses of the MRA, based upon historical funding requirements for travel, rent, telecommunications, other services, supplies and materials, and equipment.

ii. Official Mail - (\$11,000,000)

The reduction in funding for Official Mail reflects the anticipated MRA mailing expenses from the District and DC Member offices during the fiscal year in question.

Schedule A - Intern Allowance for Member Offices

House of Representatives
Intern Allowance for Member Offices
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	3,729	11,025	11,025	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	-	-	-	-	-
2600 Supplies and Materials	-	-	-	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	3,729	11,025	11,025	-	-
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	-	-	-	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The authorization and appropriation leaves the number of positions in each office to the discretion of that office as within regulations prescribed by the Committee on House Administration.

Schedule C - Intern Allowance for Member Offices

House of Representatives
Detailed Analysis of Change by Organization
Intern Allowance for Member Offices

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	11,025	11,025	-	-
Personnel Base	11,025	11,025	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	-	-	-	-
TOTAL	11,025	11,025	-	-
POSITIONS	-	-	-	-

Explanation of Changes Shown on Schedule C

Salaries, Officers and Employees Intern Allowance for Member Offices

For salaries and expenses of the Intern Allowance for Member Offices, \$11,025,000. The fiscal year (FY) 2021 budget request is flat with the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$11,025,000 for mandatory items, no price level increases, \$0 for program current services and no program changes.

I. Personnel Details: FY21 Request - \$11,025,000

A. Base: \$11,025,000

- i. The estimated FY20 personnel compensation will be \$11,025,000.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$0
- ii. FY21 Cost of Living Prorated - \$0
- iii. FY21 Overtime - \$0
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$0
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$0

A. Current Services:

i. Intern Allowance for Member Offices - \$0

Per Division B - Legislative Branch Appropriations Act, 2019 (Public Law 115-244), this account was established for the compensation of interns who serve in offices of Members of the House of Representatives.

B. Proposed Changes:

i. Intern Allowance for Member Offices - \$0

Schedule A - Intern Allowance for House Leadership Offices

House of Representatives
Intern Allowance for House Leadership Offices
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	-	365	365	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	-	-	-	-	-
2600 Supplies and Materials	-	-	-	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	-	365	365	-	-
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	-	-	-	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The authorization and appropriation leaves the number of positions in each office to the discretion of that office as within regulations prescribed by the Committee on House Administration.

Schedule C - Intern Allowance for House Leadership Offices

House of Representatives
Detailed Analysis of Change by Organization
Intern Allowance for House Leadership Offices

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	365	365	-	-
Personnel Base	365	365	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	-	-	-	-
TOTAL	365	365	-	-
POSITIONS	-	-	-	-

Explanation of Changes Shown on Schedule C

Salaries, Officers and Employees Intern Allowance for House Leadership Offices

For salaries and expenses of the Intern Allowance for House Leadership Offices, \$365,000. The fiscal year (FY) 2021 budget request is flat with the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$365,000 for mandatory items, no price level increases, \$0 for program current services and a \$0 program changes.

I. Personnel Details: FY21 Request - \$365,000

A. Base: \$365,000

- i. The estimated FY20 personnel compensation will be \$365,000.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$0
- ii. FY21 Cost of Living Prorated - \$0
- iii. FY21 Overtime - \$0
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$0
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$0

A. Current Services:

- i. Intern Allowance for House Leadership Offices - \$0
Per Division E - Legislative Branch Appropriations Act, 2020 (Public Law 116-94), this account was established for the compensation of interns who serve in the offices of Leadership of the House of Representatives.

B. Proposed Changes:

- i. Intern Allowance for House Leadership Offices - \$0

Schedule A - Standing Committees, Special and Select

House of Representatives
Standing Committees, Special and Select
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	107,460	121,178	123,456	2,278	1.88%
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	843	699	712	13	1.88%
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	1,436	1,842	1,876	35	1.88%
2400 Printing and Reproduction	104	109	111	2	1.88%
2500 Other Services	1,203	1,962	1,999	37	1.88%
2600 Supplies and Materials	3,295	2,988	3,045	56	1.88%
3100 Equipment	3,469	3,731	3,801	70	1.88%
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	117,810	132,509	135,000	2,491	1.88%
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	1,201	1,449	1,449	-	-

FY19 actuals reflect data as of September 30, 2019. The period of availability ends on December 31, 2020 and post fiscal year activity, October 1, 2019 to December 31, 2020, is not reflected in these figures. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Standing Committees, Special and Select

House of Representatives
Detailed Analysis of Change by Organization
Standing Committees, Special and Select

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	121,178	123,456	2,278	1.88%
Personnel Base	121,178	119,492	(1,686)	(1.39%)
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	1,052	1,052	-
Cost of Living Adjustment	-	2,712	2,712	-
Overtime Pay	-	200	200	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	11,331	11,544	213	1.88%
Official Expenses	11,331	11,544	213	1.88%
TOTAL	132,509	135,000	2,491	1.88%
POSITIONS	1,449	1,449	-	-

Explanation of Changes Shown on Schedule C

Standing Committees, Special and Select

For salaries and expenses of the Standing Committees, Special and Select, \$135,000,000. The fiscal year (FY) 2021 budget request is \$2,491,000 or 1.88% above the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$123,455,799 for mandatory items, no price level increases, \$11,331,189 for program current services and a \$213,012 increase in program changes.

I. Personnel Details: FY21 Request - \$123,455,799

A. Base: \$119,492,039

- i. The estimated FY20 personnel compensation will be \$119,492,039.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$1,051,530
- ii. FY21 Cost of Living Prorated - \$2,712,230
- iii. FY21 Overtime - \$200,000
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$0
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$11,544,201

A. Current Services:

i. Official Expenses - \$11,331,189

Official Expenses of the Standing Committees, Special and Select are composed of non-personnel items such as equipment, telecommunications, printing, contract services, supplies and travel.

B. Proposed Changes

i. Official Expenses - \$213,012

This increase reflects the anticipated funding needs for the Standing Committees, Special and Select, in FY 2021.

Schedule A - Hearing Room Renovations

House of Representatives
Hearing Room Renovations
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	-	-	-	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	5	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	5	-	-	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	2,270	30	30	-	-
2600 Supplies and Materials	24	120	120	-	-
3100 Equipment	2,356	2,700	2,950	250	9.26%
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	4,661	2,850	3,100	250	8.77%
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	-	-	-	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Hearing Room Renovations

House of Representatives
Detailed Analysis of Change by Organization
Hearing Room Renovations

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	-	-	-	-
Personnel Base	-	-	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	2,850	3,100	250	8.77%
Hearing Room Renovations	2,850	3,100	250	8.77%
TOTAL	2,850	3,100	250	8.77%
POSITIONS	-	-	-	-

Explanation of Changes Shown on Schedule C

Standing Committees, Special and Select Hearing Room Renovations

For salaries and expenses of the Hearing Room Renovations, \$3,100,000. The fiscal year (FY) 2021 budget request is \$250,000 or 8.77% above the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$0 for mandatory items, no price level increases, \$2,850,000 for program current services and a \$250,000 increase in program changes.

I. Personnel Details: FY21 Request - \$0

A. Base: \$0

- i. The estimated FY20 personnel compensation will be \$0.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$0
- ii. FY21 Cost of Living Prorated - \$0
- iii. FY21 Overtime - \$0
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$0
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$3,100,000

A. Current Services:

i. Hearing Room Renovations - \$2,850,000

Hearing Room Renovations is an ongoing program authorized by the Committee on House Administration (CHA) in accordance with House Resolution 84 in 2002. Hearing room renovations mainly benefit the Committees, as well as the public and other Government Agencies that watch proceedings either live or via webcast. The Hearing Room Renovations program provides the CAO portion of renovations, lifecycle, emergency replacement and repair; and auxiliary systems and components that support House Committee hearing rooms. This activity also includes broadcasting, webcasting, recording, and archiving of all requested Committee hearings. House Recording Studio (HRS) staff work closely with Appropriations, CHA, the Committee/Owner of the hearing room, the Architect of the Capitol (AoC), and other CAO entities and House staff to coordinate the renovation effort. The CHA and CAO are continuing to explore ways to standardize equipment and make rooms functional and reliable in a cost and time efficient manner.

B. Proposed Changes:

i. Hearing Room Renovations - \$250,000

This request is an increase from the FY20 Enacted, as it is based on current spending levels, and includes funding to renovate two hearing rooms, and room HC-5. This request also includes equipment, repair and maintenance support.

Schedule A - Total - Standing Committees, Special and Select

House of Representatives
Total - Standing Committees, Special and Select
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	107,460	121,178	123,456	2,278	1.88%
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	849	699	712	13	1.88%
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	1,441	1,842	1,876	35	1.88%
2400 Printing and Reproduction	104	109	111	2	1.88%
2500 Other Services	3,474	1,992	2,029	37	1.85%
2600 Supplies and Materials	3,319	3,108	3,165	56	1.81%
3100 Equipment	5,825	6,431	6,751	320	4.98%
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	122,471	135,359	138,100	2,741	2.02%
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	1,201	1,449	1,449	-	-

Schedule C - Total - Standing Committees, Special and Select

House of Representatives
Detailed Analysis of Change by Organization
Total - Standing Committees, Special and Select

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	121,178	123,456	2,278	1.88%
Personnel Base	121,178	119,492	(1,686)	(1.39%)
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	1,052	1,052	-
Cost of Living Adjustment	-	2,712	2,712	-
Overtime Pay	-	200	200	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	14,181	14,644	463	3.26%
Standing Committees, Special and Select	11,331	11,544	213	1.88%
Hearing Room Renovations	2,850	3,100	250	8.77%
TOTAL	135,359	138,100	2,741	2.02%
POSITIONS	1,449	1,449	-	-

Schedule A - Committee on Appropriations

House of Representatives
Committee on Appropriations
By Object Class

	FY19 Actuals Dollars (\$000)	FY20 Enacted Dollars (\$000)	FY21 Estimate Dollars (\$000)	FY21 vs. FY20 Net Change Dollars (\$000)	FY21 vs. FY20 Net Change Percent %
1100 Personnel Compensation	18,851	22,018	22,387	369	1.68%
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	38	95	112	17	17.71%
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	234	287	316	29	10.10%
2400 Printing and Reproduction	14	28	31	3	9.54%
2500 Other Services	1,021	1,233	1,260	27	2.19%
2600 Supplies and Materials	98	91	93	3	2.76%
3100 Equipment	81	517	526	9	1.74%
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	20,337	24,269	24,725	456	1.88%
	FY19 Actuals	FY20 Enacted	FY21 Estimate	FY21 vs. FY20 Net Change	FY21 vs. FY20 Net Change %
Positions	175	220	220	-	-

FY19 actuals reflect data as of September 30, 2019. The period of availability ends on December 31, 2020 and post fiscal year activity, October 1, 2019 to December 31, 2020, is not reflected in these figures. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Committee on Appropriations

House of Representatives
Detailed Analysis of Change by Organization
Committee on Appropriations

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	22,018	22,387	369	1.68%
Personnel Base	22,018	22,187	169	0.77%
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	200	200	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	3	3	-
C. PROGRAM CHANGES	2,251	2,335	84	3.73%
Administration	2,251	2,335	84	3.73%
TOTAL	24,269	24,725	456	1.88%
POSITIONS	220	220	-	-

Explanation of Changes Shown on Schedule C

Committee on Appropriations

For salaries and expenses of the Committee on Appropriations, \$24,725,000. The fiscal year (FY) 2021 budget request is \$456,000 or 1.88% above the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$22,387,000 for mandatory items, \$3,000 in price level increases, \$2,250,950 for program current services and a \$84,050 increase in program changes.

I. Personnel Details: FY21 Request - \$22,387,000

A. Base: \$22,187,000

- i. The estimated FY20 personnel compensation will be \$22,187,000.
- ii. The estimated FY20 overtime will be \$0.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$0
- ii. FY21 Cost of Living Prorated - \$0
- iii. FY21 Overtime - \$200,000
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$0
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$3,000

The non-personnel inflation factor is 2.50%.

III. Program Details: FY21 Request - \$2,335,000

A. Current Services:

i. Administration - \$2,250,950

The Administration program of the Committee on Appropriations is composed of non-personnel items such as equipment, travel, telecommunications, printing and contract services.

B. Proposed Changes

i. Administration - \$84,050

The changes reflect anticipated funding needs for the Committee on Appropriations in FY 2021.

Schedule A - Office of the Clerk

House of Representatives
Office of the Clerk
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	21,057	23,972	25,391	1,418	5.92%
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	62	97	156	59	60.22%
2200 Transportation of Things	6	1	1	-	-
2300 Rent, Communications, Utilities	199	259	229	(30)	(11.41%)
2400 Printing and Reproduction	24	43	44	2	4.47%
2500 Other Services	2,629	4,355	4,106	(249)	(5.71%)
2600 Supplies and Materials	454	575	597	22	3.74%
3100 Equipment	1,087	1,465	2,300	836	57.08%
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	25,519	30,766	32,824	2,058	6.69%
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	199	224	224	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Office of the Clerk

House of Representatives
Detailed Analysis of Change by Organization
Office of the Clerk

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	23,972	25,391	1,418	5.92%
Personnel Base	23,972	24,235	262	1.09%
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	187	187	-
Cost of Living Adjustment	-	483	483	-
Overtime Pay	-	260	260	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	226	226	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	6,794	7,433	640	9.42%
Capitol Service Group	16	16	-	-
Clerk of the House Projects	1,523	2,099	576	37.82%
Closed Captioning	474	484	10	2.03%
Immediate Office of the Clerk	238	371	133	55.98%
Legislative Computer Systems	2,050	2,110	60	2.92%
Legislative Resource Center	304	313	9	2.96%
Newspaper Subscriptions	167	149	(18)	(10.78%)
Office of Art and Archives	331	328	(3)	(0.91%)
Office of Communications	44	44	-	-
Office of House Employment Counsel	406	406	-	-
Office of Legislative Operations	40	36	(4)	(10.00%)
Office of the Chaplain	2	2	-	-
Office of the Historian	2	2	-	-
Office of the Historian's Staff	121	121	-	-
Official Reporters	311	153	(158)	(50.81%)
Stenographic Reporting	765	800	35	4.58%
TOTAL	30,766	32,824	2,058	6.69%
POSITIONS	224	224	-	-

Explanation of Changes Shown on Schedule C

Salaries, Officers and Employees Office of the Clerk

For salaries and expenses of the Office of the Clerk, \$32,824,000. The fiscal year (FY) 2021 budget request is \$2,058,000 or 6.69% above the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$25,390,732 for mandatory items, no price level increases, \$6,793,608 for program current services and a \$639,660 increase in program changes.

I. Personnel Details: FY21 Request - \$25,390,732

A. Base: \$24,234,644

- i. The estimated FY20 personnel compensation will be \$24,234,644.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.84%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.16%) 3.00%
- iii. FY21 Longevity - 0.91%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$187,000
- ii. FY21 Cost of Living Prorated - \$483,000
- iii. FY21 Overtime - \$260,000
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$226,088
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$7,433,268

A. Current Services:

i. Capitol Service Group - \$16,200

The Capitol Service Group maintains the Lindy Claiborne Boggs Congressional Women's Reading Room, the Members and Family Committee Room, and the Congressional Prayer Room, which are near the House Chamber and provide Members and their families with spaces for rest and reflection. The Capitol Service Group also includes the Floor clerks and Cloakroom personnel.

ii. Clerk of the House Projects - \$1,523,000

Members and Family Room: \$23,000 - The Office of the Clerk supports the Members and Family Room for the convenience of Members and their family members; and sponsors authorized events and/or receptions. These categories are non-discretionary amounts prescribed annually via enacted appropriations language.

LIMS Redevelopment: \$1,500,000 - Partially funds the Phase 3 of 5 of the multi-year redevelopment/modernization plan of the House Legislative Information Management System (LIMS). The estimated remaining balance of executing Phase 3 of 5 is \$1,620,000 and is funded by prior fiscal year available no-year funding balance. LIMS is a mission critical application integral to legislative operations of the U.S. House of Representatives. The system was built over 30 years ago on an outdated programming language, a legacy platform from the mainframe era during the 1980's. This platform has undergone multiple migrations and currently runs in the Linux environment. However, the legacy codebase has not been upgraded and poses significant challenges moving forward. The cost and technological risk associated with continuing on this legacy platform is very high. Finding skilled developers is and continues to be a major challenge. On-going maintenance and required changes to the current system demand significant resources. The migration of LIMS to a new modern technology would allow the application to be more lexible, extensible, robust and secure, and ultimately enable it to better meet future needs of the House. This phase of the modernization project will be comprised of LIMS data modeling, back-end development, Floor Action Reporting System (FARS), Committee Action Reporting System (CARS), Executive Action Reporting System (EARS), Reports Due to Congress, and Quality Assurance Testing.

iii. Closed Captioning - \$474,000

The Closed Captioning (CC) contract provides closed captioning services for the House Floor proceedings. This program is a non-discretionary account under the Office of the Clerk. It ensures inclusion for all of the nation's hearing impaired viewers per House Rules.

iv. Immediate Office of the Clerk - \$237,858

The Immediate Office of the Clerk (IO) supports all other Clerk organizations with respect to Human Resources, Budget and Contract Administration, and interaction with other House entities such as Financial Counseling and Payroll. The IO also supervises vacant Member offices; receives messages for the House from the President and the U.S. Senate, and prepares and delivers enrolled bills to the White

House; manages the official vehicle leases; processes certificates of election; and provides Member voting cards.

- v. Legislative Computer Systems - \$2,050,000
Legislative Computer Systems (LCS) develops and maintains mission-critical systems that support the legislative process and public disclosure filings. LCS maintains the Office of the Clerk's website, develops applications for Clerk and House-wide initiatives, and provides technical support to House Committees and the legislative branch in the coordination of legislative data exchange. LCS also works with the Senate on the Bioguide and lobbying disclosure filings and supports the website docs.house.gov.
- vi. Legislative Resource Center - \$303,800
The Legislative Resource Center (LRC) responds to congressional and public inquiries regarding the legislative activities of the current Congress. LRC serves as the repository and disseminator of official House legislative documents and supplies House Members with copies of bills to be considered on the Floor. LRC also manages the filings and retention of public disclosure documents; maintains the official rolls and lists of the House, including nominee and election statistics; and operates the House Library space in the Cannon House Office Building. LRC produces several informational publications and serves as the House liaison to the Government Publishing Office.
- vii. Newspaper Subscriptions - \$167,000
The Newspaper Subscriptions program provides subscriptions of periodicals for House Leadership Offices.
- viii. Office of Art and Archives - \$331,200
The Office of Art and Archives (OAA) curates the House Collection of fine art and artifacts, processes House records and oversees their eventual safe transfer to the National Archives and Records Administration, aids House Committees and Officers in identifying records to retain permanently, and provides management advice to Member offices on their congressional papers. OAA also offers informational and other services concerning House records and the House Collection.
- ix. Office of Communications - \$43,700
The Office of Communications provides integrated strategic communications support to all divisions of the Office of the Clerk. Services include message positioning and branding, web and print content development, graphic design and document production, event support, user interface design, and development of video and multimedia presentations.
- x. Office of House Employment Counsel - \$405,900
The Office of House Employment Counsel provides House employing offices with legal advice, training, and representation in matters arising under the Congressional Accountability Act.
- xi. Office of Legislative Operations - \$40,000
The Office of Legislative Operations supports legislative activities on the Floor,

such as overseeing the recording of votes and operating the Electronic Voting System; prepares messages that inform the Senate of House-passed legislation; and reads and processes bills, resolutions, motions, and presidential messages that come before the House. Legislative Operations also compiles and publishes the minutes of daily House proceedings and prepares summaries of Floor and House Committee activities, which are published in the Daily Digest of the Congressional Record.

- xii. Office of the Chaplain - \$2,000
The Office of the Chaplain opens House proceedings with prayer, provides pastoral counseling to the House community, coordinates the scheduling of guest chaplains, and arranges memorial services for the House and its staff.
- xiii. Office of the Historian - \$2,000
The Office of the Historian studies and documents the rich history of the United States House of Representatives as a resource for Members, staff, scholars, the media, and the public. It serves as both the House's institutional memory and strives to inspire greater understanding of that body's central role in U.S. history.
- xiv. Office of the Historian's Staff - \$121,000
Rule II, Clause 7, of the Rules of the House of Representatives, provides for the Office of the Historian. The mission of the Historian's Office is to research, interpret, and promote the institution's distinctive history and heritage. Historian programs include providing historical reference services to Members, staff, committees and the general public; researching, writing and updating the House's ongoing print and web historical publications; conducting oral histories; and engaging in educational outreach.
- xv. Official Reporters - \$310,950
The Office of Official Reporters is responsible for reporting and transcribing House Floor proceedings for publication in the Congressional Record, as well as transcript production for all Committee hearings and markups.
- xvi. Stenographic Reporting - \$765,000
Stenographic Reporting provides funding for any supplemental costs associated with stenographic reporting for House committees. This is a non-discretionary component of the Office of the Clerk's budget that must be funded to provide mission critical support of House Legislative Business and Operations.

B. Proposed Changes:

- i. Capitol Service Group - \$0
- ii. Clerk of the House Projects - \$576,000
Business Continuity and Disaster Recovery/Resiliency Activities: \$251,000 - The Office of the Clerk's mission is to provide procedural assistance and support necessary for the orderly conduct and dissemination of the official business of the House. A vital component of successfully executing this mission daily is to plan as much as possible for resiliency that ensures House Legislative operations in case of an emergency such as a catastrophic event and/or the unforeseeable happens. Should an occurrence happen that adversely effects the ability to continue House

official business within the House Chamber, the Office of the Clerk, after assessing the situation with combined efforts with the Senate, Sergeant at Arms, Capitol Police, and the Chief Administrative Officer, will execute its plan to limit risk and enable House Legislative operations and business at a level that is as close to normal as possible after an unanticipated turn of events. In order to operate in response to an unexpected interruption to House Legislative operations and business, the Office of the Clerk routinely executes business continuity and disaster recovery (BCDR) also referred to as Resiliency activities. In the past, this organization has carved out of a portion of its operations budget to absorb the cost of these drills and planning in the categories of compensation (man hours associated with all Clerk participants across 4 divisions, the Immediate Office, Legislative Operations, Official Reporters, and Legislative Computer Systems), travel, other services, supplies and materials and equipment. Seeing the imperative need to continue these drills, the Office of the Clerk is requesting no-year funding to support these efforts in line with its fellow counterparts, the Sergeant at Arms' Office of Emergency Management and Chief Administrative Officer's BCDR program. This funding will support the man hours and applicable travel associated with executing exercises, contractor support, supplies, materials and equipment that will be essential to ensure the capability to document, record and report all Legislative activities and operations even at a remote facility and/or mobile.

House Modernization Initiative: \$325,000 (in addition to the \$1,500,000 accounted for under the Current Services prior section)- Many of the House legislative applications and systems are developed and supported by the Office of the Clerk. The systems were developed using a range of technologies and have various maintenance cycles. The systems undergoing modernization are the Clerk's website, the BioGuide system and the Member Information System (MIS). For instance, <http://clerk.house.gov> is designed to provide improved user experience and greater transparency and access to legislative data. The Bioguide website and backend system is being redesigned in a new environment. MIS is an internal Clerk application that manages current Member and Committee information. The application is being modernized with improved data handling. With multiple development efforts taking place concurrently, the requested funding will provide the Clerk's development team with additional developer resources for these projects that support the House Legislative Operations/Business daily. The requested modernization initiative funding of \$500,000 will support staff augmentation for new and existing projects such as the aforementioned Clerk's website, live.house.gov, mandated Financial Disclosure Statements, MIS, etc. The remaining \$1,325,000 requested will provide funding to support the Comparative Print Project coined as "Posey" beyond Phase III per feedback received from the Select Committee on the Modernization of Congress.

- iii. Closed Captioning - \$9,600
This increase will fully fund the contracted services within this program.
- iv. Immediate Office of the Clerk - \$133,142
This increase is due to anticipated increases in training, Clerk-wide recruitment, equipment purchases per moves, and additional staff.
- v. Legislative Computer Systems - \$59,918

This net increase under the non-personnel category funds travel, training, maintenance, warranties, and software purchases.

- vi. Legislative Resource Center - \$9,000
This net increase will fund a copier for the Clerk's Records and Registration team within this division.
- vii. Newspaper Subscriptions - (\$18,000)
This net decrease materialized based on a survey of current usage and renegotiating cost agreements of these subscriptions.
- viii. Office of Art and Archives - (\$3,000)
This net decrease materialized as a result of non-recurring prior year expenses associated with technology service contracts and development.
- ix. Office of Communications - \$0
- x. Office of House Employment Counsel - \$0
- xi. Office of Legislative Operations - (\$4,000)
This net decrease materialized due to eliminating non-recurring prior fiscal year costs such as costs associated with renovations of space, equipment and furniture purchases.
- xii. Office of the Chaplain - \$0
- xiii. Office of the Historian - \$0
- xiv. Office of the Historian's Staff - \$0
- xv. Official Reporters - (\$158,000)
The net decrease materialized due to non-recurring prior fiscal year costs such as life-cycle replacement of steno machines and costs associated with multiple office relocations.
- xvi. Stenographic Reporting - \$35,000
During this fiscal year, the stenographic reporting contracts will be reviewed and additional vendors added to provide adequate contractor support for hearings and investigations. Based on the normal anticipated increased need for stenographic support during a Presidential Election Year, the Office of the Clerk is requesting an additional \$35,000 solely for stenographic reporting contracts.

Schedule A - Office of the Sergeant at Arms

House of Representatives
Office of the Sergeant at Arms
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	10,785	13,258	14,262	1,004	7.57%
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	808	840	1,431	591	70.36%
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	191	157	157	-	-
2400 Printing and Reproduction	6	16	11	(5)	(31.25%)
2500 Other Services	2,084	2,364	4,212	1,848	78.17%
2600 Supplies and Materials	132	307	202	(105)	(34.20%)
3100 Equipment	1,336	3,283	5,811	2,528	77.00%
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	15,342	20,225	26,086	5,861	28.98%
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	141	163	166	3	1.84%

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Office of the Sergeant at Arms

House of Representatives
Detailed Analysis of Change by Organization
Office of the Sergeant at Arms

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	13,258	14,016	758	5.71%
Personnel Base	13,258	13,530	272	2.05%
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	110	110	-
Cost of Living Adjustment	-	284	284	-
Overtime Pay	-	10	10	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	81	81	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	101	101	-
C. PROGRAM CHANGES	6,967	11,969	5,002	71.80%
House Garages/Parking Security	160	24	(136)	(85.00%)
House Security Office	118	-	(118)	(100.00%)
Immediate Office	555	469	(86)	(15.50%)
Information Services	693	574	(119)	(17.17%)
Office of Emergency Management	3,924	5,651	1,727	44.01%
Police Services	1,392	4,888	3,496	251.15%
Protocol and Chamber Operations	125	117	(8)	(6.40%)
Staff Level Increase	-	246	246	-
TOTAL	20,225	26,086	5,861	28.98%
POSITIONS	163	166	3	1.84%

Explanation of Changes Shown on Schedule C

Salaries, Officers and Employees Office of the Sergeant at Arms

For salaries and expenses of the Office of the Sergeant at Arms, \$26,086,000. The fiscal year (FY) 2021 budget request is \$5,861,000 or 28.98% above the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$14,015,575 for mandatory items, \$101,000 in price level increases, \$6,967,000 for program current services and a \$5,002,425 increase in program changes.

I. Personnel Details: FY21 Request - \$14,015,575

A. Base: \$13,530,283

- i. The estimated FY20 personnel compensation will be \$13,530,283.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.81%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.08%) 3.00%
- iii. FY21 Longevity - 0.58%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$110,000
- ii. FY21 Cost of Living Prorated - \$284,000
- iii. FY21 Overtime - \$10,000
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$81,292
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$101,000

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$11,969,425

A. Current Services:

- i. House Garages/Parking Security - \$160,000
The Division of House Garages and Parking Security is responsible for the safety and security of all vehicles and pedestrians in the House garages and parking areas. The division enforces the parking policies and allocations set forth by the Committee on House Administration.
- ii. House Security Office - \$118,000
The Division of House Security serves as a central location to oversee the issuance, administration, and verification of all House of Representatives security clearances. House Security serves as the central repository for classified materials and is responsible for the receiving, controlling, transmitting, storing, and destroying of classified information and provides training for Members of Congress and House staff on the protocols and responsibilities in handling and storage of classified materials, foreign travel, counterintelligence, and operations security.
- iii. Immediate Office - \$555,000
The Sergeant at Arms Immediate Office oversees and administers all divisions within the organization and provides support in the areas of Member Services, personnel, budgeting and finance.
- iv. Information Services - \$693,000
The Division of Information Services is comprised of the following two sections: Information Technology and Identification Services. The Information Technology section provides technical support for the entire Office of the Sergeant at Arms relating to information technology infrastructure, telecommunications, and end user support. The Identification Services section assists with the security of the Capitol complex by issuing ID badges to all authorized personnel within the House and the Architect of the Capitol.
- v. Office of Emergency Management - \$3,924,000
The Division of Emergency Management serves as the focal point for the House of Representatives emergency planning and continuity programs. The division manages life safety support programs, specialized emergency Member support programs, the House Operations Center, and internal continuity activities for the Office of the Sergeant at Arms.
- vi. Police Services - \$1,392,000
The Division of Police Services and Law Enforcement provides logistical and security support at on and off campus events involving Members of Congress and administers several programs to enhance the safety and security of all Members, staff and visitors.
- vii. Protocol and Chamber Operations - \$125,000

The Division of Protocol and Chamber Operations is comprised of Chamber Security, Chamber Support Services, and the House Appointments Desks. Staff in this division facilitates and controls access to the House Chamber when the House is in or out of session, maintains decorum in the House Chamber, and assists visitors on official business with access to the Capitol Building.

B. Proposed Changes:

- i. House Garages/Parking Security - (\$136,000)
The decrease in funding is due to non-recurring costs associated with the purchase of new parking security uniforms and electric vehicles in FY20.
- ii. House Security Office - (\$118,000)
The decrease in funding is due to non-recurring equipment purchase of safes in FY20.
- iii. Immediate Office - (\$86,000)
The decrease in funding is due to costs associated with travel to advance and support the 2020 Presidential conventions.
- iv. Information Services - (\$119,000)
The decrease in funding is due to non-recurring costs associated with contract support for web design and assessments of systems security controls in FY20.
- v. Office of Emergency Management - \$1,727,000
The increase in funding is due to the House-wide annunciator upgrade and replacement. As the current annunciator system is aging, upgrades are needed to maintain operability. Upgrading and replacing the system and end units will provide the ability to send life safety messages during emergency situations.
- vi. Police Services - \$3,496,000
The increase in funding is due to costs associated with the contract to provide security systems to Member District Offices. This includes the purchase, installation, maintenance and monthly monitoring of these systems in addition to overall program support. Additionally, the increase is due to estimated costs related to SAA staff travel to Member District Offices to provide security awareness briefings and assistance relating to the District Office Security Program. The increase can also be attributed to estimated costs of USCP providing security for House Leadership traveling overseas.
- vii. Protocol and Chamber Operations - (\$8,000)
The decrease in funding is due to the non-recurring costs of supplies in FY20.
- viii. Staff Level Increase - \$246,425
The Office of the Sergeant at Arms is requesting funding for three (3) new FTE.

Division of House Security: 1 new FTE is needed to manage the security education portfolio and provide time-sensitive briefings on foreign travel, operation security, defensive counterintelligence and security indoctrination.

This FTE will also develop on-line security briefings for House staff.

Emergency Management: Funding for one (1) new FTE is requested to provide support in one of the four functional areas of preparedness, plans, operations and exercises. The preparedness section supports life-safety planning for Member offices in both Washington, DC and their districts; the plans section supports developing continuity of operations plans for the House; the operations section supports operational readiness activities for the House and the Office of the Sergeant at Arms; and the exercises section supports testing and evaluating all program areas for the House and the Office of the Sergeant at Arms.

Police Services and Law Enforcement: Funding for one (1) new FTE is requested to assist with increasing security requirements to protect Members, staff and offices in Member districts. The level of complexity and the Office of the Sergeant at Arms involvement in district security continues to grow as we provide security system upgrades, management of the mail safety hood program and the coordination of the Law Enforcement Coordinator program. In addition, this FTE will provide staff support for additional travel to district offices and administrative support to the division.

Schedule A - Office of the Chief Administrative Officer

House of Representatives
Office of the Chief Administrative Officer
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	69,749	74,220	86,402	12,182	16.41%
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	309	672	830	158	23.51%
2200 Transportation of Things	43	18	36	18	100.00%
2300 Rent, Communications, Utilities	2,929	5,250	5,716	466	8.88%
2400 Printing and Reproduction	52	96	96	-	-
2500 Other Services	20,078	40,360	55,865	15,505	38.42%
2600 Supplies and Materials	9,453	2,901	3,625	724	24.96%
3100 Equipment	16,538	30,034	37,666	7,633	25.41%
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	119,151	153,550	190,236	36,686	23.89%
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	656	707	753	46	6.51%

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Office of the Chief Administrative Officer

House of Representatives
Detailed Analysis of Change by Organization
Office of the Chief Administrative Officer

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	74,220	86,402	12,182	16.41%
Personnel Base	74,220	77,878	3,658	4.93%
Base Adjustment	-	4,300	4,300	-
Cost of Living Adjustment Annualized	-	722	722	-
Cost of Living Adjustment	-	1,864	1,864	-
Overtime Pay	-	860	860	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	778	778	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	79,330	103,834	24,504	30.89%
Acquisitions	6,564	7,444	880	13.41%
CAO Immediate Office & Galleries	2,754	13,331	10,577	384.06%
Customer Experience Center	5,483	6,302	819	14.94%
Finance	1,192	1,614	422	35.40%
House Information Resources	52,761	61,352	8,591	16.28%
House Recording Studio	1,594	1,672	78	4.89%
Human Resources	1,467	1,717	250	17.04%
Logistics & Support	5,749	6,716	967	16.82%
Risk Management	696	996	300	43.10%
Strategic Initiatives/CAO-Wide	1,070	2,690	1,620	151.40%
TOTAL	153,550	190,236	36,686	23.89%
POSITIONS	707	753	46	6.51%

Explanation of Changes Shown on Schedule C

Salaries, Officers and Employees
Office of the Chief Administrative Officer

For salaries and expenses of the Office of the Chief Administrative Officer, \$190,236,000. The fiscal year (FY) 2021 budget request is \$36,686,000 or 23.89% above the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$86,402,000 for mandatory items, no price level increases, \$79,330,000 for program current services and a \$24,504,000 increase in program changes.

I. Personnel Details: FY21 Request - \$86,402,000

A. Base: \$77,878,000

- i. The estimated FY20 personnel compensation will be \$77,878,000.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.25%) 3.00%
- iii. FY21 Longevity - 0.92%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$722,000
- ii. FY21 Cost of Living Prorated - \$1,864,000
- iii. FY21 Overtime - \$860,000
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$778,000
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$4,300,000
This increase includes 25 additional positions, to support forecasted needs aligned to modernization efforts, operational and strategic gaps across business units; and 21 identified opportunities to convert staff augmentation contractors to full-time

equivalent positions.

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$103,834,000

A. Current Services:

i. Acquisitions - \$6,564,000

The Office of Acquisitions Management is responsible for House-wide purchasing, contract planning and execution, and contract administration for Mail Operations, Food Services, the Fitness Center, Barber Shop, Shoe Shine, and Dry Cleaners. Acquisitions also oversees the Office Supply Store & House Gift Shop.

ii. CAO Immediate Office & Galleries - \$2,754,000

CAO Immediate Office (CAO IO) provides administrative solutions in the form of leadership and management of the CAO. The CAO IO directorates include the CAO Immediate Office, Radio TV Gallery, Periodical Press Gallery, Daily Press Gallery, and the Office of Employee Advocacy.

iii. Customer Experience Center - \$5,483,000

The Customer Experience Center (CEC) launched on October 1, 2017 with the mission to ensure exceptional customer experiences for all CAO services delivered to the House community. The CEC supports the CAO Strategic Plan's Customer Goal and serves an important role in connecting CAO technical, administrative and operational experts with their customers through the services provided by its four directorates: Customer Experience Center Immediate Office (IO), which includes the Congressional Staff Academy; Communications & Marketing; House Creative Services, which includes Digital Media Services; and Customer Services, which includes the Customer Advocates and First Call.

iv. Finance - \$1,192,000

The Office of Finance provides financial management services to Leadership, Members, Committees, Officers and offices of the U.S. House of Representatives (House). The Finance Immediate Office (IO) and its four directorates (Accounting, Budget, Planning & Analysis, Financial Counseling, and Payroll & Benefits) comprise the organization.

v. House Information Resources - \$52,761,000

House Information Resources (HIR) manages the technology solutions for the House community. HIR provides cybersecurity products and services, campus voice and data services, active directory management, mobile communications support, website development, Broadband Connectivity and Virtual Private Network (VPN) connection support, and video teleconferencing through the House's public wireless network. HIR is also responsible for managing large-scale software/hardware implementations. HIR has ten directorates: HIR Immediate Office; Enterprise Applications; Enterprise Architecture and Vendor Management; Enterprise Infrastructure; Enterprise Messaging & Mobility; Identity Governance & Administration; IT Customer Solutions; Network Engineering and Operations; Cybersecurity; and Web Systems.

- vi. House Recording Studio - \$1,594,000
The House Recording Studio (HRS) provides audio and video services to Members, Committees, Leadership and House Officers, which allows information to be disseminated to constituents and other entities. This includes the official audio and video record of Floor proceedings (copies of which go to the National Archives and Library of Congress). Additionally, HRS operates and maintains equipment in House Committee Hearing Rooms, and provides broadcasting, webcasting and archiving of hearings, as requested by Committees. HRS also handles audio and visual room setups in the CVC and most special event rooms.
 - vii. Human Resources - \$1,467,000
The Office of Human Resources (HR) is comprised of both internal and external HR services. The HR Immediate Office (which encompasses CAO Human Resources, Diversity and Organizational Change Management, Privacy Assurance, and Personnel Security and Safety) provides the full lifecycle of HR services to the CAO organization. Within HR, the Office of Employee Assistance and House Wounded Warrior Program provide external House-wide HR services.
 - viii. Logistics & Support - \$5,749,000
Logistics & Support (L&S) provides furniture delivery and removal, office move and set up services, and furniture and furnishings services, which include carpeting, drapery, engraving, furniture procurement, finishing, locksmith, upholstery, and picture framing services. Furniture is manufactured by the House, provided from House inventory, or obtained through third-party vendors. This includes traditional furniture and furnishings, modular furniture, refurbishment, and warehousing. Additionally, L&S manages Asset Management for the House by maintaining an accurate accounting of thousands of House assets.
 - ix. Risk Management - \$696,000
The Office of Risk Management (ORM) was formed as a result of the CAO's Strategic Plan. ORM is comprised of the ORM directorate and includes Enterprise Risk Management (ERM), Internal Control, and Audit and Compliance programs. These activities provide CAO management with risk-based information to assist with decisions to target resources to the highest risk areas that help ensure the CAO's Mission and objectives are met. ORM also facilitates Office of Inspector General and external financial statement audit activities, remediation efforts, and oversight of the Shared Employee Compliance Program.
 - x. Strategic Initiatives/CAO-Wide - \$1,070,000
Strategic Initiatives/CAO-Wide provides funding for key initiatives in support of the CAO's Mission to serve the House community by providing administrative, technical, and operational solutions so Members can perform their Constitutional duties. These funds are used to support efforts that strengthen security, improve visibility and access, and simplify compliance.
- B. Proposed Changes:
- i. Acquisitions - \$880,000
This request will support the cost for the Digital and Traditional Mail contract. It includes an increase in the funding required as a result of the new mail contract,

which was awarded in September 2019. The mail contract is essential to the timely delivery of constituent communications to Member offices and the assurance that all mail is properly screened for potential threats.

- ii. CAO Immediate Office & Galleries - \$10,577,000
This request includes \$10 million for initiatives recommended by the Select Committee on Modernization and approved by the Committee on House Administration. It also includes a required increase for the Radio TV Gallery, for costs associated with the CVC digital signage update. Additional contractor support is also required within the CAO Immediate Office (IO) for business transformation initiatives.
- iii. Customer Experience Center - \$819,000
This request will support the mandatory annual House-wide Workplace Rights & Responsibility Training program for all House staff. Mandatory training will provide each employee with the necessary tools to understand House standards and policies. This request will fund increases needed to support the enterprise subscription to the National Journal Publication for Member, Committee and Leadership offices. It will also provide funding for a new Customer Relationship Management (CRM) system, implementation and training for CAO staff that will integrate customer services and engagement experiences across multi-channel support touch points in order to manage interactions with Member offices.
- iv. Finance - \$422,000
The requested increase will allow the Office of Finance to fund contractor support to implement modernization initiatives. Additionally, it will allow Payroll & Benefits to fund necessary contractor support for retirement services.
- v. House Information Resources - \$8,591,253
The increased funding will be used for a variety of initiatives supporting the House and its Members. Specifically, it includes funding for the migration of House applications to the cloud, strengthening cybersecurity, technology recapitalization, hardware and software maintenance support, and associated contractor support. HIR also requires additional funding to continue to support increased costs for maintenance, lifecycle replacements and upgrades, and software licenses and support used by the House community.
- vi. House Recording Studio - \$78,000
This request includes funding for the equipment and travel costs associated with providing Field Hearing support for Committees conducting hearings off campus.
- vii. Human Resources - \$250,000
This request funds program enhancements that support the CAO Strategic Plan's Employee Goal of ensuring a professional and engaged CAO workforce. It will also continue the on-going services and activities offered by the Office of Employee Assistance while expanding activities offered by the House Wellness Center.
- viii. Logistics & Support - \$966,747
This request will fund the necessary contractor support and resources needed to continue normal Logistics & Support services and delivery times for all areas.

Additionally, this supports increased costs for a new warehouse contract, and temporary contractors for operational support.

- ix. Risk Management - \$300,000
This request includes additional funding required for contractor support for Enterprise Risk Management development and implementation.
- x. Strategic Initiatives/CAO-Wide - \$1,620,000
This request provides funding for costs associated with upgrades to the House's enterprise human resource and financial systems.

Schedule A - Office of Diversity and Inclusion

House of Representatives
Office of Diversity and Inclusion
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	-	600	600	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	5	5	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	25	25	-	-
2400 Printing and Reproduction	-	1	1	-	-
2500 Other Services	-	204	204	-	-
2600 Supplies and Materials	-	20	20	-	-
3100 Equipment	-	145	145	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	-	1,000	1,000	-	-
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	-	-	-	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Office of Diversity and Inclusion

House of Representatives
Detailed Analysis of Change by Organization
Office of Diversity and Inclusion

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	600	600	-	-
Personnel Base	600	582	(18)	(3.00%)
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	5	5	-
Cost of Living Adjustment	-	13	13	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	400	400	-	-
General Operations Program	400	400	-	-
TOTAL	1,000	1,000	-	-
POSITIONS	-	-	-	-

Explanation of Changes Shown on Schedule C

Salaries, Officers and Employees
Office of Diversity and Inclusion

For salaries and expenses of the Office of Diversity and Inclusion, \$1,000,000. The fiscal year (FY) 2021 budget request is flat with the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$600,000 for mandatory items, no price level increases, \$400,000 for program current services and no program changes.

I. Personnel Details: FY21 Request - \$600,000A. Base: \$582,000

- i. The estimated FY20 personnel compensation will be \$582,000.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.86%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.21%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$5,000
- ii. FY21 Cost of Living Prorated - \$13,000
- iii. FY21 Overtime - \$0
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$0
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$400,000

A. Current Services:

i. General Operations Program - \$400,000

This reflects the planned establishment of the Office of Diversity and Inclusion. A determination is pending regarding the Positions associated with this new office.

B. Proposed Changes:

i. General Operations Program - \$0

Schedule A - Office of the Whistleblower Ombudsman

House of Representatives
Office of the Whistleblower Ombudsman
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	-	450	450	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	4	4	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	18	18	-	-
2400 Printing and Reproduction	-	1	1	-	-
2500 Other Services	-	153	153	-	-
2600 Supplies and Materials	-	15	15	-	-
3100 Equipment	-	109	109	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	-	750	750	-	-
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	-	-	-	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Office of the Whistleblower Ombudsman

House of Representatives
Detailed Analysis of Change by Organization
Office of the Whistleblower Ombudsman

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	450	450	-	-
Personnel Base	450	436	(14)	(3.11%)
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	4	4	-
Cost of Living Adjustment	-	10	10	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	300	300	-	-
General Operations Program	300	300	-	-
TOTAL	750	750	-	-
POSITIONS	-	-	-	-

Explanation of Changes Shown on Schedule C

Salaries, Officers and Employees Office of the Whistleblower Ombudsman

For salaries and expenses of the Office of the Whistleblower Ombudsman, \$750,000. The fiscal year (FY) 2021 budget request is flat with the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$450,000 for mandatory items, no price level increases, \$300,000 for program current services and no program changes.

I. Personnel Details: FY21 Request - \$450,000

A. Base: \$436,000

- i. The estimated FY20 personnel compensation will be \$436,000.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.92%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.27%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$4,000
- ii. FY21 Cost of Living Prorated - \$10,000
- iii. FY21 Overtime - \$0
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$0
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$300,000

A. Current Services:

i. General Operations Program - \$300,000

This reflects the planned establishment of the Office of the Whistleblower Ombudsman. A determination is pending regarding the Positions associated with this new office.

B. Proposed Changes:

i. General Operations Program - \$0

Schedule A - Office of Inspector General

House of Representatives
Office of Inspector General
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	3,036	3,849	3,922	73	1.90%
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	8	12	12	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	18	39	31	(8)	(20.44%)
2400 Printing and Reproduction	2	1	1	-	-
2500 Other Services	132	965	900	(65)	(6.74%)
2600 Supplies and Materials	10	84	84	-	-
3100 Equipment	28	69	69	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	3,232	5,019	5,019	-	-
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	21	25	25	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Office of Inspector General

House of Representatives
Detailed Analysis of Change by Organization
Office of Inspector General

	FY20 Enacted Dollars (\$000)	FY21 Estimate Dollars (\$000)	FY21 vs. FY20 Net Change Dollars (\$000)	FY21 vs. FY20 Net Change Percent %
A. MANDATORY CHANGE	3,849	3,922	73	1.90%
Personnel Base	3,849	3,849	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	20	20	-
Cost of Living Adjustment	-	53	53	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	1,170	1,097	(73)	(6.24%)
General Operations Program	181	173	(8)	(4.43%)
Audit, Advisory, and Investigative Services Program	904	839	(65)	(7.19%)
Training Program	85	85	-	-
TOTAL	5,019	5,019	-	-
POSITIONS	25	25	-	-

Explanation of Changes Shown on Schedule C

Salaries, Officers and Employees
Office of Inspector General

For salaries and expenses of the Office of Inspector General, \$5,019,000. The fiscal year (FY) 2021 budget request is flat with the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$3,922,254 for mandatory items, no price level increases, \$1,169,746 for program current services and a (\$73,000) decrease in program changes.

I. Personnel Details: FY21 Request - \$3,922,254A. Base: \$3,849,254

- i. The estimated FY20 personnel compensation will be \$3,849,254.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.52%) 3.52%
- ii. FY21 Cost of Living Prorated - (1.37%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$20,000
- ii. FY21 Cost of Living Prorated - \$53,000
- iii. FY21 Overtime - \$0
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$0
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0
Four positions in the Audit (AAIS) Program which were previously below the SPO limit will meet the SPO limit in FY2020 once the projected FY2020 COLA is appropriated and applied; therefore, those four positions were removed from the COLA-eligible salaries (Base Adjustment - HEPCA) and moved into the non-COLA eligible personnel base (Base Adjustment - SPO).

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$1,096,746

A. Current Services:

i. Audit, Advisory, and Investigative Services Program - \$904,221

The Audit, Advisory, and Investigative Services (AAIS) Program includes salaries for the Inspector General, Deputy Inspector General, and twenty (20) audit, advisory, investigative, and quality assurance staff members. The Office of Inspector General (OIG) prepares a Work Plan which is reviewed and approved by both the Majority and Minority of the Committee on House Administration (Committee). This plan consists of projects requested from the House Officers and the Committee, as well as audit and advisory projects recommended by our office based on our assessment of potential risks to the House. The scope, depth, and number of audits and advisories varies from year to year because of changes in House operations, emerging trends, our continual reassessment of risk, and the availability of funds for obligation. Investigative services are performed on an as needed basis; therefore, the number, scope, and level of effort for investigative projects is not easily formulated or projected. The AAIS Program also includes a budget for contracting qualified, subject matter experts to provide support on certain audits or management advisory services. Additionally, included is funding for the purchase of program-specific supplies (e.g. computer hardware, software, and forensic tools for audits and investigations) and program-specific training. Finally, included is also the estimated cost of program-related subscriptions, publications, and research services used as guides, references, and resources in the planning and performance of audits, advisories, and investigations.

ii. General Operations Program - \$180,778

The Admin and General Operations (ADMIN-OPS) Program includes salaries for three (3) Support Services Division staff members who provide human resources management, contract management and procurement services, IT management and support, budget formulation and execution, process improvements and automation services, administer the OIG's Quality Assurance Program, manage files maintenance and disposition, and provide other administrative support activities to ensure audit, advisory, and investigative staff and executive management have the necessary resources, services, and support to effectively and efficiently accomplish the OIG's mission activities. This program includes the purchase of general office supplies, equipment and maintenance agreements, office furnishings, enterprise computer software, hardware, and licensing agreements, relevant publications, communications equipment and service plans, consultant and technical service support, as well as payment for shipment and installation of purchased items.

iii. Training Program - \$84,747

House Rule II states that the OIG will conduct its audit, investigative, and advisory work in a manner consistent with government-wide auditing standards. These standards require all auditors, and specialists supporting auditors, to have a minimum of 80 hours of specialized training every two years. To meet these training requirements and to ensure we develop overall staff expertise, the OIG relies upon

various government training programs and non-government vendors, (technical training institutions and national and local chapters of professional associations) for training. Specialized training for Information Systems Auditors is needed frequently to stay current with rapidly changing and emerging technologies. When possible, training is obtained locally, but in some instances, travel and travel expenses are necessary if the training cannot be obtained in a timely fashion or is not available locally. Purchases of computer software, training aids, accessories, or publications associated with staff training are also funded in this program's budget.

B. Proposed Changes:

i. Audit, Advisory, and Investigative Services Program - (\$65,000)

The Other Services budget line (BOC 2500) has been reduced to offset COLAs for COLA-eligible salaries.

ii. General Operations Program - (\$8,000)

The ADMIN-OPS Program budget reflects leveled-off spending on supplies based on recent trends. Our increased use of electronic files and internal file sharing platforms has reduced the need for paper copies. Additionally, the OIG's use of Peoplesoft to electronically submit vouchers for payment and reimbursement reduces paper, ink, and physical storage space and supplies needed for paper copies. The OIG continues to reap the cost savings from negotiated copier maintenance plans that include copier supplies. We have reduced the Rent, Communications, and Utilities budget line (BOC 2300) based on a trend of reduced cost and expenditures on communications service plans. We also continue to take advantage of House-negotiated pricing on software licenses and equipment to maximize our budget.

iii. Training Program - \$0

Schedule A - Office of General Counsel

House of Representatives
Office of General Counsel
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	1,295	1,571	1,617	46	2.93%
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	8	12	12	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	8	11	11	-	-
2400 Printing and Reproduction	2	6	6	-	-
2500 Other Services	24	37	37	-	-
2600 Supplies and Materials	60	72	72	-	-
3100 Equipment	19	42	60	18	42.86%
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	1,416	1,751	1,815	64	3.66%
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	13	13	13	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Office of General Counsel

House of Representatives
Detailed Analysis of Change by Organization
Office of General Counsel

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	1,571	1,617	46	2.93%
Personnel Base	1,571	1,571	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	46	46	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	180	198	18	10.00%
Legal Representation and Advice	180	198	18	10.00%
TOTAL	1,751	1,815	64	3.66%
POSITIONS	13	13	-	-

Explanation of Changes Shown on Schedule C

Salaries, Officers and Employees Office of General Counsel

For salaries and expenses of the Office of General Counsel, \$1,815,000. The fiscal year (FY) 2021 budget request is \$64,000 or 3.66% above the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$1,617,000 for mandatory items, no price level increases, \$180,000 for program current services and a \$18,000 increase in program changes.

I. Personnel Details: FY21 Request - \$1,617,000

A. Base: \$1,571,000

- i. The estimated FY20 personnel compensation will be \$1,571,000.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 2.93%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$0
- ii. FY21 Cost of Living Prorated - \$0
- iii. FY21 Overtime - \$0
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$0
- vii. FY21 Meritorious Increase - \$46,000
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$198,000

A. Current Services:

i. Legal Representation and Advice - \$180,000

Pursuant to Rule II.8(a) of the Rules of the House of Representatives for the 116th Congress, and 2 U.S.C. § 5571, the Office of General Counsel (OGC) provides legal advice and assistance to Members, Committees, Officers, and employees of the House, without regard to political affiliation, on matters related to their official duties. OGC represents Members, Committees, Officers, and employees, both as parties and witnesses, in litigation arising from or relating to the performance of their official duties and responsibilities. OGC also represents the House itself in litigation, both as a party and as amicus curie, in cases in which the House has an institutional interest.

B. Proposed Changes:

i. Legal Representation and Advice - \$18,000

The increase reflects additional costs for replacing computers, server and other technological needs. As noted in our FY 2020 budget request, there exists a high probability that the OGC will continue to be required to undertake significant litigation in the upcoming fiscal year. Such litigation may include cases in which the House directs OGC to intervene or file amicus briefs in pending cases, as well as cases to enforce subpoenas issued by various House Committees. OGC proposes to handle this litigation in several possible ways. First, to the extent practicable, matters will be litigated by OGC attorneys and law clerks. In some circumstances, cases might be handled by OGC attorneys working with private attorneys from law firms or public interest litigation groups. OGC reasonably expects that, where necessary, substantial legal services will continue to be provided to the House by private attorneys on a pro bono basis, meaning that the House will not be billed for these services. However, some matters may require OGC to enter into contracts for paid legal services with private attorneys. In addition, it is possible that OGC will find it necessary to hire at least one more full-time attorney to deal with the expected increased work load. If it transpires that additional funds are needed for hiring another attorney or paying private counsel, OGC will request such funds as may be necessary at the appropriate time.

Schedule A - Office of the Parliamentarian

House of Representatives
Office of the Parliamentarian
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	1,719	1,943	1,943	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	27	24	24	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	-	45	45	-	-
2600 Supplies and Materials	10	16	16	-	-
3100 Equipment	5	60	60	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	1,761	2,088	2,088	-	-
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	13	13	13	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Office of the Parliamentarian

House of Representatives
Detailed Analysis of Change by Organization
Office of the Parliamentarian

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	1,943	1,943	-	-
Personnel Base	1,943	1,881	(62)	(3.19%)
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	62	62	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	145	145	-	-
Daily Procedural Services	145	145	-	-
TOTAL	2,088	2,088	-	-
POSITIONS	13	13	-	-

Explanation of Changes Shown on Schedule C

Salaries, Officers and Employees
Office of the Parliamentarian

For salaries and expenses of the Office of the Parliamentarian, \$2,088,000. The fiscal year (FY) 2021 budget request is flat with the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$1,943,000 for mandatory items, no price level increases, \$145,000 for program current services and no program changes.

I. Personnel Details: FY21 Request - \$1,943,000A. Base: \$1,881,000

- i. The estimated FY20 personnel compensation will be \$1,881,000.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 3.30%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$0
- ii. FY21 Cost of Living Prorated - \$0
- iii. FY21 Overtime - \$0
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$0
- vii. FY21 Meritorious Increase - \$62,000
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$145,000

A. Current Services:

i. Daily Procedural Services - \$145,000

The Parliamentarian and his staff are available at all times to the Speaker, the Members of the House, and its committees for consultation on legislative and parliamentary procedure. The Parliamentarian also compiles and publishes various sources of the parliamentary law of the House (see sections 28, 28a, and 29 of Title 2, United States Code).

B. Proposed Changes:

i. Daily Procedural Services - \$0

Schedule A - Office of the Law Revision Counsel

House of Representatives
Office of the Law Revision Counsel
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	2,221	2,534	2,534	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	5	9	9	-	-
2400 Printing and Reproduction	-	1	1	-	-
2500 Other Services	149	675	700	25	3.70%
2600 Supplies and Materials	73	60	75	15	25.00%
3100 Equipment	22	140	150	10	7.14%
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	2,470	3,419	3,469	50	1.46%
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	17	21	21	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Office of the Law Revision Counsel

House of Representatives
Detailed Analysis of Change by Organization
Office of the Law Revision Counsel

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	2,534	2,534	-	-
Personnel Base	2,534	2,462	(73)	(2.86%)
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	73	73	
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	23	23	-
C. PROGRAM CHANGES	885	912	27	3.05%
General Operations Program	885	912	27	3.05%
TOTAL	3,419	3,469	50	1.46%
POSITIONS	21	21	-	-

Explanation of Changes Shown on Schedule C

Salaries, Officers and Employees Office of the Law Revision Counsel

For salaries and expenses of the Office of the Law Revision Counsel, \$3,469,000. The fiscal year (FY) 2021 budget request is \$50,000 or 1.46% above the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$2,534,000 for mandatory items, \$23,000 in price level increases, \$885,000 for program current services and a \$27,000 increase in program changes.

I. Personnel Details: FY21 Request - \$2,534,000

A. Base: \$2,461,500

- i. The estimated FY20 personnel compensation will be \$2,461,500.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 2.95%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$0
- ii. FY21 Cost of Living Prorated - \$0
- iii. FY21 Overtime - \$0
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$0
- vii. FY21 Meritorious Increase - \$72,500
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$23,000

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$912,000

A. Current Services:

i. General Operations Program - \$885,000

This program includes administrative/operational costs which cover administrative functions of the Office of the Law Revision Counsel (OLRC). These expenses include the budget object categories of Rent, Communications, and Utilities, Printing and Reproduction, Other Services, Supplies and Materials, and Equipment.

ii. Modernization - \$0

The House Modernization Initiative is a collaborative effort by the OLRC and the House Legislative Counsel (HOLC) begun at the behest of House leadership in 2012. The OLRC's part of the initiative proceeds in three stages: (1) convert the United States Code into XML and develop conversion tools to facilitate its use by other Hill offices; (2) develop a Codification drafting tool to draft bills in XML compatible with current efforts of the HOLC and Senate Legislative Counsel; and (3) develop a Code editing tool which allows the OLRC to edit and maintain the Code in XML. OLRC's part of the initiative was initially funded in FY12 with \$1,084,832 of reprogrammed funds with an additional \$1,000,000 in No Year funds approved in FY15. In FY13 through FY19, the OLRC obligated significant amounts of its own funds to continue the initiative without interruption. The OLRC hopes that this funding will allow the OLRC to continue and complete the House Modernization Initiative as originally envisioned. However, there are necessary follow-on projects that must be undertaken in the near future which will require additional funding.

B. Proposed Changes:

i. General Operations Program - \$27,000

The increase in the Other Services line (2500) is due to the need for consultation with former OLRC staff in planning and reviewing anticipated editorial projects and in the installation and maintenance of a new editing tool for the OLRC. The increase in the Supplies and Materials line (2600) reflects the reality of annual expenses. We projected costs of \$60,000 last year and spent \$73,000. The increase in the Equipment line (3100) is due to anticipated purchases for the OLRC's Alternate Computing Facility and for necessary purchases for the installation of OLRC's new editing tool.

ii. Modernization - \$0

The OLRC has sufficient funds to complete the Modernization Initiative as initially approved. However, there are necessary follow-on projects that must be undertaken in the near future which will require additional funding in future fiscal years.

Schedule A - Office of the Legislative Counsel

House of Representatives
Office of the Legislative Counsel
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	8,890	10,804	10,804	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	2	50	10	(40)	(80.00%)
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	39	48	120	72	150.00%
2400 Printing and Reproduction	-	1	1	-	-
2500 Other Services	390	684	457	(227)	(33.19%)
2600 Supplies and Materials	106	100	145	45	45.00%
3100 Equipment	151	250	400	150	60.00%
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	9,578	11,937	11,937	-	-
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	77	87	91	4	4.60%

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Office of the Legislative Counsel

House of Representatives
Detailed Analysis of Change by Organization
Office of the Legislative Counsel

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	10,804	10,804	-	-
Personnel Base	10,804	10,804	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	1,133	1,133	-	-
General Operations Program	1,133	1,133	-	-
TOTAL	11,937	11,937	-	-
POSITIONS	87	91	4	4.60%

Explanation of Changes Shown on Schedule C

Salaries, Officers and Employees
Office of the Legislative Counsel

For salaries and expenses of the Office of the Legislative Counsel, \$11,937,000. The fiscal year (FY) 2021 budget request is flat with the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$10,804,000 for mandatory items, no price level increases, \$1,133,000 for program current services and no program changes.

I. Personnel Details: FY21 Request - \$10,804,000A. Base: \$10,804,000

- i. The estimated FY20 personnel compensation will be \$10,804,000.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$0
- ii. FY21 Cost of Living Prorated - \$0
- iii. FY21 Overtime - \$0
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$0
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$1,133,000

A. Current Services:

i. General Operations Program - \$1,133,000

This program includes expenditures for travel, rent, communications, printing, furniture, computer equipment (hardware and software), office supplies, maintenance fees, contract services, staff training, and publications/subscriptions.

B. Proposed Changes:

i. General Operations Program - \$0

Schedule A - Office of Interparliamentary Affairs

House of Representatives
Office of Interparliamentary Affairs
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	373	422	542	120	28.44%
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	5	5	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	8	10	10	-	-
2400 Printing and Reproduction	1	10	10	-	-
2500 Other Services	3	5	5	-	-
2600 Supplies and Materials	121	322	322	-	-
3100 Equipment	6	40	40	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	512	814	934	120	14.74%
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	5	5	6	1	20.00%

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Office of Interparliamentary Affairs

House of Representatives
Detailed Analysis of Change by Organization
Office of Interparliamentary Affairs

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	422	422	-	-
Personnel Base	422	422	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	392	512	120	30.61%
Office of Interparliamentary Affairs	392	392	-	-
Staff Level Increase	-	120	120	-
TOTAL	814	934	120	14.74%
POSITIONS	5	6	1	20.00%

Explanation of Changes Shown on Schedule C

Salaries, Officers and Employees
Office of Interparliamentary Affairs

For salaries and expenses of the Office of Interparliamentary Affairs, \$934,000. The fiscal year (FY) 2021 budget request is \$120,000 or 14.74% above the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$422,000 for mandatory items, no price level increases, \$392,000 for program current services and a \$120,000 increase in program changes.

I. Personnel Details: FY21 Request - \$422,000A. Base: \$422,000

- i. The estimated FY20 personnel compensation will be \$422,000.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$0
- ii. FY21 Cost of Living Prorated - \$0
- iii. FY21 Overtime - \$0
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$0
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$512,000A. Current Services:i. Office of Interparliamentary Affairs - \$392,000

The Office of Interparliamentary Affairs is responsible for providing direct support for the Speaker's Washington meetings with foreign dignitaries; for coordinating official visits to the House of Representatives by parliamentarians, officers or employees of foreign legislative bodies; for providing direct support for the Speaker's overseas travel; and for providing interparliamentary and overseas travel services to Members of Congress and to foreign governments as well as support for established parliamentary exchanges.

B. Proposed Changes:i. Office of Interparliamentary Affairs - \$0ii. Staff Level Increase - \$120,000

One new FTE to provide support and assistance to the Office of Interparliamentary Affairs in providing direct support for the Speaker's Washington meetings with foreign dignitaries; official visits to the House of Representatives by parliamentarians officers or employees of foreign legislative bodies; direct support for the Speaker's overseas travel; and for interparliamentary and overseas travel services to Members of Congress and to foreign governments.

Schedule A - Technical Assistants, Office of Attending Physician

House of Representatives
 Technical Assistants, Office of Attending Physician
 By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	578	584	584	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	-	-	-	-	-
2600 Supplies and Materials	-	-	-	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	578	584	584	-	-
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	4	4	4	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Technical Assistants, Office of Attending Physician

House of Representatives
Detailed Analysis of Change by Organization
Technical Assistants, Office of Attending Physician

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	584	584	-	-
Personnel Base	584	584	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	-	-	-	-
TOTAL	584	584	-	-
POSITIONS	4	4	-	-

Explanation of Changes Shown on Schedule C

Salaries, Officers and Employees Technical Assistants, Office of Attending Physician

For salaries and expenses of the Technical Assistants, Office of Attending Physician, \$584,000. The fiscal year (FY) 2021 budget request is flat with the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$584,000 for mandatory items, no price level increases, \$0 for program current services and a \$0 program changes.

I. Personnel Details: FY21 Request - \$584,000

A. Base: \$584,000

- i. The estimated FY20 personnel compensation will be \$584,000.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$0
- ii. FY21 Cost of Living Prorated - \$0
- iii. FY21 Overtime - \$0
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$0
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$0

A. Current Services:

i. Technical Assistants, Office of Attending Physician - \$0

Referred to as Technical Assistants in the Office of the Attending Physician, this House account was established in 1947 per P.L. 79-479 59 Stat. 633, the FY 1947 Legislative Branch Appropriations Act. The Technical Assistants are appointed by the Attending Physician and are subject to the approval of the Speaker.

B. Proposed Changes:

i. Technical Assistants, Office of Attending Physician - \$0

Schedule A - Total - Other Authorized Employees

House of Representatives
Total - Other Authorized Employees
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	578	584	584	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	-	-	-	-	-
2600 Supplies and Materials	-	-	-	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	578	584	584	-	-
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	4	4	4	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Total - Other Authorized Employees

House of Representatives
Detailed Analysis of Change by Organization
Total - Other Authorized Employees

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	584	584	-	-
Personnel Base	584	584	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	-	-	-	-
TOTAL	584	584	-	-
POSITIONS	4	4	-	-

Schedule A - Total - Salaries, Officers and Employees

House of Representatives
Total - Salaries, Officers and Employees
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	119,703	134,208	149,051	14,843	11.06%
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	1,195	1,697	2,465	768	45.22%
2200 Transportation of Things	49	19	37	18	94.21%
2300 Rent, Communications, Utilities	3,424	5,849	6,350	501	8.56%
2400 Printing and Reproduction	87	175	172	(3)	(1.77%)
2500 Other Services	25,490	49,847	66,684	16,838	33.78%
2600 Supplies and Materials	10,420	4,472	5,172	701	15.66%
3100 Equipment	19,191	35,636	46,810	11,174	31.36%
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	179,559	231,903	276,742	44,839	19.34%
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	1,146	1,262	1,316	54	4.28%

Schedule C - Total - Salaries, Officers and Employees

House of Representatives
Detailed Analysis of Change by Organization
Total - Salaries, Officers and Employees

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	134,208	148,685	14,477	10.79%
Personnel Base	134,208	138,234	4,026	3.00%
Base Adjustment	-	4,300	4,300	-
Cost of Living Adjustment Annualized	-	1,048	1,048	-
Cost of Living Adjustment	-	2,707	2,707	-
Overtime Pay	-	1,130	1,130	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	1,085	1,085	-
Meritorious Increase	-	181	181	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	124	124	-
C. PROGRAM CHANGES	97,695	127,933	30,238	30.95%
Office of the Clerk	6,794	7,433	640	9.42%
Office of the Sergeant at Arms	6,967	11,969	5,002	71.80%
Office of the Chief Administrative Officer	79,330	103,834	24,504	30.89%
Office of Diversity and Inclusion	400	400	-	-
Office of the Whistleblower Ombudsman	300	300	-	-
Office of Inspector General	1,170	1,097	(73)	(6.24%)
Office of General Counsel	180	198	18	10.00%
Office of the Parliamentarian	145	145	-	-
Office of the Law Revision Counsel	885	912	27	3.05%
Office of the Legislative Counsel	1,133	1,133	-	-
Office of Interparliamentary Affairs	392	512	120	30.61%
TOTAL	231,903	276,742	44,839	19.34%
POSITIONS	1,262	1,316	54	4.28%

Schedule A - Supplies, Materials, Administrative Costs and Federal Tort Claims

House of Representatives
Supplies, Materials, Administrative Costs and Federal Tort Claims
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	-	-	-	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	37	110	111	1	0.91%
2300 Rent, Communications, Utilities	3	212	228	15	7.11%
2400 Printing and Reproduction	1	46	46	-	0.07%
2500 Other Services	60	521	522	-	0.05%
2600 Supplies and Materials	19	421	421	-	0.06%
3100 Equipment	19	207	219	12	5.98%
4200 Insurance Claims/Indemnities	30	8	8	-	-
TOTAL	168	1,526	1,555	29	1.90%
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	-	-	-	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Supplies, Materials, Administrative Costs and Federal Tort Claims

House of Representatives
Detailed Analysis of Change by Organization
Supplies, Materials, Administrative Costs and Federal Tort Claims

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	-	-	-	-
Personnel Base	-	-	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	1,526	1,555	29	1.90%
Administrative Costs	585	587	1	0.22%
Technology	941	968	28	2.95%
TOTAL	1,526	1,555	29	1.90%
POSITIONS	-	-	-	-

Explanation of Changes Shown on Schedule C

Allowances and Expenses Supplies, Materials, Administrative Costs and Federal Tort Claims

For salaries and expenses of the Supplies, Materials, Administrative Costs and Federal Tort Claims, \$1,555,000. The fiscal year (FY) 2021 budget request is \$29,000 or 1.90% above the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$0 for mandatory items, \$0 in price level increases, \$1,526,000 for program current services and a \$29,000 increase in program changes.

I. Personnel Details: FY21 Request - \$0

A. Base: \$0

- i. The estimated FY20 personnel compensation will be \$0.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.25%) 3.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$0
- ii. FY21 Cost of Living Prorated - \$0
- iii. FY21 Overtime - \$0
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$0
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$1,555,000

A. Current Services:

- i. Administrative Costs - \$585,371
Provides non-personnel funding for supplies, insurance, and printing and graphics for certain House offices.
- ii. Technology - \$940,629
Provides non-personnel funding for hardware, software, certain telecommunications and contract support for implementation of automated solutions for certain House offices.

B. Proposed Changes

- i. Administrative Costs - \$1,269
The Commission on Security and Economic Cooperation (Helsinki Commission) is requesting an increase in its FY2021 budget to cover increasing operational expenses for the upcoming fiscal year. This requested increase will cover graphics and printing needs for domestic field hearings throughout the fiscal year in order to continue to support the mission of the Commission.
- ii. Technology - \$27,731
The Commission on Security and Economic Cooperation (Helsinki Commission) is requesting an increase in its FY2021 budget. This increase will cover the additional expenses that continue to arise in support of the Commission's international work. The Commission will use this increase to ensure its telecommunications systems are properly adhering to House policies and protocols to ensure safety and confidentiality in line with its mandate.

Schedule A - Official Mail for Committees, Leadership and Administrative Offices

House of Representatives
 Official Mail for Committees, Leadership and Administrative Offices
 By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	-	-	-	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	64	190	190	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	-	-	-	-	-
2600 Supplies and Materials	-	-	-	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	64	190	190	-	-
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	-	-	-	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Official Mail for Committees, Leadership and Administrative Offices

House of Representatives
Detailed Analysis of Change by Organization
Official Mail for Committees, Leadership and Administrative Offices

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	-	-	-	-
Personnel Base	-	-	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	190	190	-	-
Non-member Other House Offices	100	100	-	-
Non-member Standing Committees, Special and Select	90	90	-	-
TOTAL	190	190	-	-
POSITIONS	-	-	-	-

Explanation of Changes Shown on Schedule C

Allowances and Expenses Official Mail for Committees, Leadership and Administrative Offices

For salaries and expenses of the Official Mail for Committees, Leadership and Administrative Offices, \$190,000. The fiscal year (FY) 2021 budget request is flat with the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$0 for mandatory items, no price level increases, \$190,000 for program current services and no program changes.

I. Personnel Details: FY21 Request - \$0

A. Base: \$0

- i. The estimated FY20 personnel compensation will be \$0.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$0
- ii. FY21 Cost of Living Prorated - \$0
- iii. FY21 Overtime - \$0
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$0
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$190,000

A. Current Services:

- i. Official Mail for Committees, Leadership and Administrative Offices - \$190,000
This account pays for the official frank for non-Member offices, including but not limited to, Leadership, Standing Committees, Special and Select, House Officers, and the Joint Committee on Taxation. Specifically, the CAO Office of Finance will use this account to mail annual Wage and Tax Statements (W-2) or Open Season information to House employees. In addition, the Standing Committees, Special and Select, may use this account to mail items such as press releases, schedules of hearings, or committee documents. This account was established at the same time the three component parts of the MRA were consolidated into one allowance. Previously, there was one Official Mail account for the House; however, it became necessary to break out the Member mail account from the non-Member mail account for the purpose of better tracking.

B. Proposed Changes:

- i. Official Mail for Committees, Leadership and Administrative Offices - \$0

Schedule A - Government Contributions

House of Representatives
Government Contributions
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	9	-	-	-	-
1200 Personnel Benefits	240,611	294,377	340,000	45,623	15.50%
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	-	-	-	-	-
2200 Transportation of Things	(1)	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	244	-	-	-	-
2600 Supplies and Materials	-	-	-	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	240,863	294,377	340,000	45,623	15.50%
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	-	-	-	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

Schedule C - Government Contributions

House of Representatives
Detailed Analysis of Change by Organization
Government Contributions

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	294,377	340,000	45,623	15.50%
Personnel Base	-	-	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	294,377	340,000	45,623	15.50%
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	-	-	-	-
TOTAL	294,377	340,000	45,623	15.50%
POSITIONS	-	-	-	-

Explanation of Changes Shown on Schedule C

Allowances and Expenses Government Contributions

For salaries and expenses of the Government Contributions, \$340,000,000. The fiscal year (FY) 2021 budget request is \$45,623,000 or 15.50% above the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$340,000,000 for mandatory items, \$0 for program current services and no program changes.

I. Personnel Details: FY21 Request - \$340,000,000

A. Base: \$294,377,000

- i. The estimated FY20 personnel benefits will be \$294,377,000.

B. Budget Calculations:

- i. Benefit cost estimates are based on 0.42 cents for every personnel dollar estimated to be earned in FY21, which is \$813,215,785.

C. Requested Changes:

- i. FY21 Personnel Benefits - \$45,623,000

II. Price Level Details: FY21 Request - \$0

III. Program Details: FY21 Request - \$0

A. Current Services:

- i. Federal Employee's Retirement System (FERS):
FERS contributions were deemed mandatory coverage for employees hired after January 1, 1984 and applies to employees hired from January 1, 1984 through December 31, 2012. Effective October 1, 2019, the government contribution rate increased from 19.1% to 23.9%.
- ii. Federal Employees' Retirement System - Revised Annuity Employee (FERS-RAE):
The retirement plan is effective for staff with appointments from January 1, 2013 to December 31, 2013. Exceptions apply for staff previously employed by the federal government who may be eligible for FERS. The government contribution to the FERS-RAE plan is 16.3% versus 23.9% for FERS employees.
- iii. Federal Employees' Retirement System - Further Revised Annuity Employee (FERS-FRAE):
The retirement plan is effective for staff with appointments from January 1, 2014 and later. Exceptions apply for staff previously employed by the federal government who may be eligible for FERS or FERS-RAE. The government contribution to the FERS-FRAE plan is 16.3% versus 23.9% for FERS employees.
- iv. Civil Service Retirement System (CSRS)/Civil Service Retirement Offset (CSRO):

Due to mandatory FERS coverage for new employees, the number of CSRS and CSRO employees continues to decrease each year. Some returning employees with a break in federal service of less than 365 days are eligible to return under CSRS. If an employee's break in service is greater than 365 days, they have five (5) years of federal service and have not taken a refund of their deposit, then they are eligible for the CSRO system.

- v. Thrift Savings Plan (TSP):
The percentage of government contributions to the Thrift Savings Plan continues to grow as employees shift to the FERS, FERS-RAE, and FERS-FRAE retirement programs. The House contributes 1% automatically regardless of an employee's contribution to the plan, and will match contributions up to 5%.
- vi. Federal Insurance Contributions Act (FICA):
Like FERS, FICA was also deemed mandatory for employees hired after January 1, 1984. The current contribution rate is 6.2% on a 2020 wage base limit of \$137,700. The wage base limit is the maximum wage that contributions are paid on.
- vii. Medicare:
The House has withheld the employer's portion of Medicare since January 1, 1983, which is currently 1.45%. There is no wage base limit for Medicare contributions. All covered wages are subject to the Medicare tax.
- viii. Federal Employees Health Benefit Program (FEHB):
This program provides health care benefits to employees who enroll in the program. The House has adopted the FEHB program, the same as the Executive branch. Members and certain designated staff are not eligible for this program effective January 1, 2014.
- ix. Affordable Care Act (ACA) Health Exchange:
Section 1312 (d)(3)(D) of the Patient Protection and Affordable Care Act (ACA) requires that, effective January 1, 2014, Members and designated staff may only obtain healthcare benefits from plans offered through a healthcare exchange created under the ACA.
- x. Life Insurance:
This program covers the cost of Basic Life insurance for active employees and is based on the Basic Life insurance amount. The employee pays two-thirds of the total cost and the government pays one-third. The employee pays the total cost of additional optional insurance.
- xi. Unemployment Compensation:
This program covers the House's share of unemployment costs for employees who are terminated or who lose their jobs because their Member is not re-elected to Congress.
- xii. Flexible Spending Accounts:
This program provides funding for a third party administration fee for managing the Flexible Spending Accounts (FSAFEDS) program. Effective April 1, 2005, the House adopted the Office of Personnel Management's FSAFEDS program. The program includes two types of accounts. The first can be used to pay for eligible

health care expenses not covered under an employee's insurance plan. The second is for dependent care expenses for childcare and for adult dependents.

xiii. Student Loan Repayment Program (SLRP):

The House authorized the SLRP in P.L. 108-7. The Committee on House Administration, in conjunction with the Chief Administrative Officer, implemented the SLRP in May 2003. Under this program, an employing office of the House of Representatives may agree to repay any federally insured student loan previously taken out by the employee.

xiv. Centralized Transit Benefits:

To encourage Members, Officers and employees of the U.S. House of Representatives to use public transportation systems to commute to and from work, House offices are required to offer qualified employees a transit pass transportation benefit (transit benefit). This is provided as a tax-free benefit. The value of a qualified transit pass may not exceed an amount equal to the employee's actual commuting costs or the maximum level allowed by Title 26, U.S.C. 132(f)(2), *whichever is less*.

xv. U.S. Capitol Telephone Exchange:

A Memorandum of Understanding provides that the House shall reimburse the Senate for expenses incurred by the Senate with respect to employees of the U.S. Capitol telephone exchange (2 USC 2168(e)).

B. Proposed Changes:

i. Government Contributions - \$45,623,000

The budget request for personnel benefits is largely calculated based on a percentage of the estimated personnel dollars for the budget request year. The requested increase in funding will support an approximate 6% increase in personnel dollars estimated to be earned in FY21 over FY20. In addition, the increase reflects funding required to support the effects of changes by the Office of Personnel Management (OPM) to the agency contributions rates for the Federal Employees Retirement System categories. Effective October 1, 2020, the FERS agency contribution rate for the House is projected to increase from 23.9% to 25.7% and the agency contribution for both FERS RAE and FERS FRAE is projected to increase from 16.3% to 17.8%. These changes will result in an average increase of 9% across all three categories.

Schedule A - Business Continuity and Disaster Recovery

House of Representatives
Business Continuity and Disaster Recovery
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	-	1,482	1,719	237	15.99%
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	43	177	132	(45)	(25.42%)
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	2,644	3,274	3,260	(14)	(0.43%)
2400 Printing and Reproduction	3	-	-	-	-
2500 Other Services	2,996	4,013	5,726	1,713	42.69%
2600 Supplies and Materials	484	200	210	10	5.00%
3100 Equipment	9,949	8,522	7,461	(1,061)	(12.45%)
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	16,119	17,668	18,508	840	4.75%
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	-	12	12	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Business Continuity and Disaster Recovery

House of Representatives
Detailed Analysis of Change by Organization
Business Continuity and Disaster Recovery

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	1,482	1,719	237	15.99%
Personnel Base	1,482	1,650	168	11.34%
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	15	15	-
Cost of Living Adjustment	-	37	37	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	17	17	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	16,186	16,789	603	3.73%
Business Continuity and Disaster Recovery	16,186	16,789	603	3.73%
TOTAL	17,668	18,508	840	4.75%
POSITIONS	12	12	-	-

Explanation of Changes Shown on Schedule C

Allowances and Expenses Business Continuity and Disaster Recovery

For salaries and expenses of the Business Continuity and Disaster Recovery, \$18,508,000. The fiscal year (FY) 2021 budget request is \$840,000 or 4.75% above the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$1,719,000 for mandatory items, no price level increases, \$16,186,000 for program current services and a \$603,000 increase in program changes.

I. Personnel Details: FY21 Request - \$1,719,000

A. Base: \$1,650,000

- i. The estimated FY20 personnel compensation will be \$1,650,000.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.91%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.22%) 3.00%
- iii. FY21 Longevity - 1.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$15,000
- ii. FY21 Cost of Living Prorated - \$37,000
- iii. FY21 Overtime - \$0
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$17,000
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$16,789,000

A. Current Services:

i. Business Continuity and Disaster Recovery - \$16,186,000

The Business Continuity/Disaster Recovery (BC/DR) program provides contingency planning and operations support, as well as improvements and enhancements to technical infrastructure, systems, information security, emergency communications, and business continuity capabilities of the U.S. House of Representatives. This program covers the sustainment costs for capabilities implemented post 9/11, as well as the development and implementation of new capabilities. The CAO Continuity Policy was updated after a comprehensive evaluation by the CAO and the CAO Chiefs. This policy is the driver for ensuring that the CAO is ready and equipped to provide support to the House during disruptive events.

More than half of the BC/DR request supports two major capabilities: backup data center and lifecycle replacement of all CAO Continuity Capabilities. The backup data center provides redundant data system services to the House including data center operations in support of electronic message (email and mobile device communications), database and financial systems; general continuity services for First Call, Technology Service Desk, Network Operations, and CAO Support Services; and general office space for House Officers. The lifecycle replacement portion of the BC/DR request supports the crucial replacement of continuity hardware and services enabling the CAO to properly maintain and upgrade BC/DR infrastructure and hardware, including hardware and infrastructure that are used on a daily basis (such as a robust voice and data capability on the Capitol Campus and in the District Offices).

B. Proposed Changes:

i. Business Continuity and Disaster Recovery - \$603,000

This increase provides the necessary funding to ensure that CAO essential support services can continue during and following a disruptive event.

Schedule A - Transition Activities

House of Representatives
Transition Activities
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	-	-	-	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	606	-	13	13	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	470	60	905	845	1,408.33%
2400 Printing and Reproduction	-	-	17	17	-
2500 Other Services	4,988	1,866	7,792	5,926	317.58%
2600 Supplies and Materials	806	473	152	(321)	(67.86%)
3100 Equipment	2,180	2,090	4,121	2,031	97.18%
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	9,051	4,489	13,000	8,511	189.60%
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	-	-	-	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Transition Activities

House of Representatives
Detailed Analysis of Change by Organization
Transition Activities

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	-	-	-	-
Personnel Base	-	-	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	4,489	13,000	8,511	189.60%
Transition Activities	4,489	13,000	8,511	189.60%
TOTAL	4,489	13,000	8,511	189.60%
POSITIONS	-	-	-	-

Explanation of Changes Shown on Schedule C

Allowances and Expenses
Transition Activities

For salaries and expenses of the Transition Activities, \$13,000,000. The fiscal year (FY) 2021 budget request is \$8,511,000 or 189.60% above the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$0 for mandatory items, no price level increases, \$4,489,000 for program current services and a \$8,511,000 increase in program changes.

I. Personnel Details: FY21 Request - \$0

A. Base: \$0

- i. The estimated FY20 personnel compensation will be \$0.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$0
- ii. FY21 Cost of Living Prorated - \$0
- iii. FY21 Overtime - \$0
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$0
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$13,000,000

A. Current Services:

i. Transition Activities - \$4,489,000

The Transition Activities program provides funding for Transition activities. Although Transition occurs biennially (odd years), there are ongoing Transition related activities that occur each year. Transition operations include New Member Orientation costs; furniture purchases; replacement of drapes and carpeting; rental of warehouse space for furniture storage; transition related contractor support in logistics, telecommunications, technology support, and financial services; and office supplies.

Expenses for this account are ongoing; however, if prior year appropriated funds have not been fully utilized, they may also be used for current Transition activities, as they are No Year. Therefore, funds are requested based on the current spending levels for Transition Activities.

B. Proposed Changes:

i. Transition Activities - \$8,511,000

This increase provides the necessary funding to support the transition of the 116th Congress to the 117th Congress. This requested increase will ensure a Transition that is sufficiently funded.

Schedule A - Wounded Warrior Program

House of Representatives
Wounded Warrior Program
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	3,251	2,750	2,750	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	278	200	227	27	13.50%
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	10	4	4	-	-
2400 Printing and Reproduction	22	10	10	-	-
2500 Other Services	10	32	5	(27)	(84.38%)
2600 Supplies and Materials	12	2	2	-	-
3100 Equipment	7	2	2	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	3,590	3,000	3,000	-	-
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	81	116	116	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Wounded Warrior Program

House of Representatives
Detailed Analysis of Change by Organization
Wounded Warrior Program

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	2,750	2,750	-	-
Personnel Base	2,750	2,750	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	250	250	-	-
Wounded Warrior Program	250	250	-	-
TOTAL	3,000	3,000	-	-
POSITIONS	116	116	-	-

Explanation of Changes Shown on Schedule C

Allowances and Expenses Wounded Warrior Program

For salaries and expenses of the Wounded Warrior Program, \$3,000,000. The fiscal year (FY) 2021 budget request is flat with the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$2,750,000 for mandatory items, no price level increases, \$250,000 for program current services and no program changes.

I. Personnel Details: FY21 Request - \$2,750,000

A. Base: \$2,750,000

- i. The estimated FY20 personnel compensation will be \$2,750,000.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$0
- ii. FY21 Cost of Living Prorated - \$0
- iii. FY21 Overtime - \$0
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$0
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$250,000

A. Current Services:

i. Wounded Warrior Program - \$250,000

The Wounded Warrior Program was established to create fellowships that provide employment opportunities for wounded or disabled veterans within the U.S. House of Representatives. Positions may become available in Member, Committee and Leadership offices in Washington, D.C. and in district offices nationwide. Those selected for the program will be given the opportunity to rotate into various positions and, if a fit is found, transition into full-time employment. The positions are filled by veterans who have served on active duty since September 11, 2001, had less than 20 years of service, and have a minimum 30 percent service-connected disability rating from either a military Physical Evaluation Board or the Department of Veterans Affairs. The 30 percent threshold was established to target those injured veterans who are more likely to need this kind of employment opportunity. If a fellowship is located within a Member's district, the appointment is contingent on the Representative's continuous representation of that district. Wounded Warrior Fellows are hired to fill specific vacancies in the offices of participating Members. Their salaries are paid for by the Chief Administrative Officer (CAO), and the fellows do not count against the personnel ceilings of the participating Member offices. Although full time employment is not guaranteed at the conclusion of the two year fellowship, Members or Officers who are assigned a fellow are reminded that the purpose of the program is to facilitate long-term employment with the House of Representatives. Consideration should be given to reaching that goal sometime before the expiration of the two year fellowship. The performance and progress of each fellow is tracked closely by the Director of the Wounded Warrior Program. Workspace modifications may be accommodated, when possible, to provide maximum opportunities to those veterans who meet the job qualifications and have the desired skill sets to fill a position, notwithstanding their physical limitations. All wounded warriors hired into the fellowship program are CAO employees and are entitled to the same benefits as other House employees.

B. Proposed Changes:

i. Wounded Warrior Program - \$0

Schedule A - Office of Congressional Ethics

House of Representatives
Office of Congressional Ethics
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	923	1,170	1,206	36	3.08%
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	37	118	118	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	33	31	36	5	16.13%
2400 Printing and Reproduction	-	2	2	-	-
2500 Other Services	79	237	237	-	-
2600 Supplies and Materials	33	110	110	-	-
3100 Equipment	27	2	2	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	1,133	1,670	1,711	41	2.46%
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	8	10	10	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Office of Congressional Ethics

House of Representatives
Detailed Analysis of Change by Organization
Office of Congressional Ethics

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	1,170	1,206	36	3.08%
Personnel Base	1,170	1,169	(1)	(0.09%)
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	10	10	-
Cost of Living Adjustment	-	27	27	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	500	505	5	1.00%
Office Administration	500	505	5	1.00%
TOTAL	1,670	1,711	41	2.46%
POSITIONS	10	10	-	-

Explanation of Changes Shown on Schedule C

Allowances and Expenses
Office of Congressional Ethics

For salaries and expenses of the Office of Congressional Ethics, \$1,711,000. The fiscal year (FY) 2021 budget request is \$41,000 or 2.46% above the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$1,206,000 for mandatory items, no price level increases, \$500,000 for program current services and a \$5,000 increase in program changes.

I. Personnel Details: FY21 Request - \$1,206,000

A. Base: \$1,169,000

- i. The estimated FY20 personnel compensation will be \$1,169,000.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.86%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.29%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$10,000
- ii. FY21 Cost of Living Prorated - \$27,000
- iii. FY21 Overtime - \$0
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$0
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$505,000

A. Current Services:

i. Office Administration - \$500,000

According to Section 1(a) of H. Res. 895, the Office of Congressional Ethics (OCE) has been established "for the purpose of assisting the House in carrying out its responsibilities under article I, section 5, clause 2 of the Constitution (commonly referred to as the 'Discipline Clause'),....". This program funds all non-personnel expenses associated with daily operations, research and investigations such as travel, transportation of things, contractor support, supplies, equipment, subscriptions and annual maintenance contracts, etc.

B. Proposed Changes:

i. Office Administration - \$5,000

The request reflects the anticipated FY21 increase in associated costs for the OCE Board and staff rent, communications, and utilities. Non-Personnel spending otherwise reflects the intent of the Office of Congressional Ethics to remain consistent with the FY 2020 Enacted level.

Schedule A - Miscellaneous Items

House of Representatives
Miscellaneous Items
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	-	-	-	-	-
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	997	678	678	-	-
2100 Travel	130	192	192	-	-
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	-	-	-	-	-
2400 Printing and Reproduction	-	-	-	-	-
2500 Other Services	12	60	60	-	-
2600 Supplies and Materials	19	70	70	-	-
3100 Equipment	-	-	-	-	-
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	1,158	1,000	1,000	-	-
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	-	-	-	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Miscellaneous Items

House of Representatives
Detailed Analysis of Change by Organization
Miscellaneous Items

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	-	-	-	-
Personnel Base	-	-	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	1,000	1,000	-	-
Gratuities to Beneficiaries of Deceased Staff	678	678	-	-
House Automobiles	282	282	-	-
Interparliamentary Receptions	40	40	-	-
TOTAL	1,000	1,000	-	-
POSITIONS	-	-	-	-

Explanation of Changes Shown on Schedule C

Allowances and Expenses
Miscellaneous Items

For salaries and expenses of the Miscellaneous Items, \$1,000,000. The fiscal year (FY) 2021 budget request is flat with the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$0 for mandatory items, no price level increases, \$1,000,000 for program current services and no program changes.

I. Personnel Details: FY21 Request - \$0

A. Base: \$0

- i. The estimated FY20 personnel compensation will be \$0.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$0
- ii. FY21 Cost of Living Prorated - \$0
- iii. FY21 Overtime - \$0
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$0
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$1,000,000

A. Current Services:

- i. Gratuities to Beneficiaries of Deceased Staff - \$678,000
This program funds and pays gratuities to heirs of deceased House employees.
- ii. House Automobiles - \$282,000
This program funds the purchase, exchange, maintenance, repair and operation of House motor vehicles.
- iii. Interparliamentary Receptions - \$40,000
The purpose of this program is "to enable the House of Representatives to more properly discharge and coordinate its activities and responsibilities in connection with participation in various interparliamentary institutions and to facilitate the interchange and reception in the United States of members of foreign legislative bodies and permanent officials of foreign government," pursuant to House Resolution 348 (June 29, 1961).

B. Proposed Changes:

- i. Gratuities to Beneficiaries of Deceased Staff - \$0
- ii. House Automobiles - \$0
- iii. Interparliamentary Receptions - \$0

Schedule A - Total - Allowances and Expenses

House of Representatives
Total - Allowances and Expenses
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	4,182	5,402	5,675	273	5.05%
1200 Personnel Benefits	240,611	294,377	340,000	45,623	15.50%
1300 Benefits to Former Personnel	997	678	678	-	-
2100 Travel	1,095	687	682	(5)	(0.73%)
2200 Transportation of Things	36	110	111	1	0.91%
2300 Rent, Communications, Utilities	3,225	3,771	4,623	851	22.57%
2400 Printing and Reproduction	27	58	75	17	29.29%
2500 Other Services	8,389	6,729	14,342	7,612	113.12%
2600 Supplies and Materials	1,373	1,276	965	(311)	(24.35%)
3100 Equipment	12,182	10,823	11,805	982	9.08%
4200 Insurance Claims/Indemnities	30	8	8	-	-
TOTAL	272,146	323,920	378,964	55,044	16.99%
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	89	138	138	-	-

Schedule C - Total - Allowances and Expenses

House of Representatives
Detailed Analysis of Change by Organization
Total - Allowances and Expenses

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	299,779	345,675	45,896	15.31%
Personnel Base	5,402	5,569	167	3.09%
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	25	25	-
Cost of Living Adjustment	-	64	64	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	17	17	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	294,377	340,000	45,623	15.50%
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	24,141	33,289	9,148	37.89%
Supplies, Materials, Administrative Costs and Federal Tort Claims	1,526	1,555	29	1.90%
Official Mail for Committees, Leadership and Administrative Offices	190	190	-	-
Business Continuity and Disaster Recovery	16,186	16,789	603	3.73%
Transition Activities	4,489	13,000	8,511	189.60%
Wounded Warrior Program	250	250	-	-
Office of Congressional Ethics	500	505	5	1.00%
Miscellaneous Items	1,000	1,000	-	-
TOTAL	323,920	378,964	55,044	16.99%
POSITIONS	138	138	-	-

Schedule A - Joint Committee on Taxation

House of Representatives
Joint Committee on Taxation
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	8,539	9,816	9,739	(77)	(0.78%)
1200 Personnel Benefits	-	-	-	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	24	20	26	6	30.00%
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	125	121	144	23	19.01%
2400 Printing and Reproduction	5	6	6	-	-
2500 Other Services	714	350	650	300	85.71%
2600 Supplies and Materials	319	550	540	(10)	(1.82%)
3100 Equipment	641	700	800	100	14.29%
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	10,367	11,563	11,905	342	2.96%
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	64	77	77	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Joint Committee on Taxation

House of Representatives
Detailed Analysis of Change by Organization
Joint Committee on Taxation

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	9,816	9,739	(77)	(0.78%)
Personnel Base	9,816	9,442	(374)	(3.81%)
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	83	83	-
Cost of Living Adjustment	-	214	214	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	-	-	-	-
B. PRICE LEVEL INCREASES	-	31	31	-
C. PROGRAM CHANGES	1,747	2,135	388	22.21%
Miscellaneous	1,747	2,135	388	22.21%
TOTAL	11,563	11,905	342	2.96%
POSITIONS	77	77	-	-

Explanation of Changes Shown on Schedule C

Joint Committee on Taxation

For salaries and expenses of the Joint Committee on Taxation, \$11,905,000. The fiscal year (FY) 2021 budget request is \$342,000 or 2.96% above the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$9,739,000 for mandatory items, \$31,000 in price level increases, \$1,747,000 for program current services and a \$388,000 increase in program changes.

I. Personnel Details: FY21 Request - \$9,739,000

A. Base: \$9,442,000

- i. The estimated FY20 personnel compensation will be \$9,442,000.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$83,000
- ii. FY21 Cost of Living Prorated - \$214,000
- iii. FY21 Overtime - \$0
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$0
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$31,000

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$2,135,000

A. Current Services:

i. Miscellaneous - \$1,747,000

The Joint Committee on Taxation provides support to the House and Senate with respect to revenue legislation. The staff prepares background materials for committee hearings, markup documents, committee reports, statements of managers, revenue estimates, and other economic analysis for all tax legislation considered by Congress. The Joint Committee staff prepares special reports as may be requested by the Chairman and Vice Chairman, and reviews income tax treaties for the Senate Foreign Relations Committee. The Joint Committee staff also reviews all tentative large income tax refunds prior to their payments by the Internal Revenue Service.

B. Proposed Changes:

i. Miscellaneous - \$388,000

The Joint Committee has been on the forefront of security for many years and prepares for future cyber threats. Economic modeling also requires enhanced computer processing and data access that require annual subscriptions. Subscription fees to electronic data bases of legal and accounting materials have increased at rates in excess of the general inflation rate for the past several years. Increased travel expense is expected from the need to attend the American Economic Association's job market to meet staffing needs; to send staff economists to certain professional conferences to present staff modeling analysis to receive comment and increase transparency; and to send staff attorneys and accountants to certain professional conferences to enhance their knowledge of evolving issues in tax law. These increased costs continue to be a budgetary challenge.

Schedule A - Office of Attending Physician

House of Representatives
Office of Attending Physician
By Object Class

	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
1100 Personnel Compensation	-	-	-	-	-
1200 Personnel Benefits	157	162	162	-	-
1300 Benefits to Former Personnel	-	-	-	-	-
2100 Travel	7	7	6	(1)	(11.43%)
2200 Transportation of Things	-	-	-	-	-
2300 Rent, Communications, Utilities	41	62	61	(1)	(1.61%)
2400 Printing and Reproduction	1	2	3	-	11.61%
2500 Other Services	2,499	3,010	2,998	(12)	(0.40%)
2600 Supplies and Materials	368	510	510	-	(0.05%)
3100 Equipment	41	115	130	15	12.87%
4200 Insurance Claims/Indemnities	-	-	-	-	-
TOTAL	3,114	3,868	3,869	1	0.03%
	FY19	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Actuals	Enacted	Estimate	Net Change	Net Change %
Positions	-	-	-	-	-

FY19 actuals reflect data as of September 30, 2019. These are expenditures only and do not reflect open obligations or post FY spending.

The Position totals in the FY20 Enacted column reflect the funded position level for this office and the associated cost is provided within the personnel compensation portion of the FY20 Enacted allocation.

The Position totals in the FY21 Estimate column reflect the requested positions for the estimate year and the anticipated associated cost is provided within the personnel compensation portion of the FY21 estimate.

Schedule C - Office of Attending Physician

House of Representatives
Detailed Analysis of Change by Organization
Office of Attending Physician

	FY20	FY21	FY21 vs. FY20	FY21 vs. FY20
	Enacted	Estimate	Net Change	Net Change
	Dollars (\$000)	Dollars (\$000)	Dollars (\$000)	Percent %
A. MANDATORY CHANGE	162	162	-	-
Personnel Base	-	-	-	-
Base Adjustment	-	-	-	-
Cost of Living Adjustment Annualized	-	-	-	-
Cost of Living Adjustment	-	-	-	-
Overtime Pay	-	-	-	-
Reclassifications	-	-	-	-
Temporary Positions	-	-	-	-
Longevity Increase	-	-	-	-
Meritorious Increase	-	-	-	-
Accrued Leave	-	-	-	-
Personnel Benefits	162	162	-	-
B. PRICE LEVEL INCREASES	-	-	-	-
C. PROGRAM CHANGES	3,706	3,707	1	0.03%
Reimbursement to the Navy	2,800	2,796	(4)	(0.14%)
Miscellaneous	906	911	5	0.55%
TOTAL	3,868	3,869	1	0.03%
POSITIONS	-	-	-	-

Explanation of Changes Shown on Schedule C

Office of Attending Physician

For salaries and expenses of the Office of Attending Physician, \$3,869,000. The fiscal year (FY) 2021 budget request is \$1,000 or 0.03% above the *Further Consolidated Appropriations Act, 2020* per P.L. 116-94.

This amount includes \$161,760 for mandatory items, no price level increases, \$3,706,240 for program current services and a \$1,000 increase in program changes.

I. Personnel Details: FY21 Request - \$161,760A. Base: \$161,760

- i. The estimated FY20 personnel benefits will be \$161,760.

B. Budget Calculations:

- i. FY20 Cost of Living Annualized - (0.88%) 3.52%
- ii. FY21 Cost of Living Prorated - (2.25%) 3.00%
- iii. FY21 Longevity - 0.00%
- iv. FY21 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY20 Cost of Living Annualized - \$0
- ii. FY21 Cost of Living Prorated - \$0
- iii. FY21 Overtime - \$0
- iv. FY21 Reclassifications - \$0
- v. FY21 Temporary Positions - \$0
- vi. FY21 Longevity - \$0
- vii. FY21 Meritorious Increase - \$0
- viii. FY21 Accrued Leave - \$0
- ix. FY21 Personnel Benefits - \$0
- x. FY21 Base Adjustment - \$0

II. Price Level Details: FY21 Request - \$0

The non-personnel estimated inflation factor is 2.50%.

III. Program Details: FY21 Request - \$3,707,240

A. Current Services:

i. Miscellaneous - \$906,240

The Office of Attending Physician provides medical services to House and Senate staff. Services and supplies provided include the following: consumable supplies of medicines (injection and oral) for chemical/biological warfare, continuing education and associated travel costs, required supplies for House and Senate staff/OEC, CPR/AED and First Aid training, cost of maintenance of MeRV and cost of drivers' training, equipment to directly support continuity of operations; prophylactic medications, immunizations, physical exams, dietary information, therapy supplies, consumable supplies for all health units on Capitol Hill, laboratory chemicals and reagents, equipment purchases, contracts for equipment maintenance and service, and administrative supplies; on-going training to maintain licensure and certifications, and to increase knowledge of clinical issues. Additional expenses include costs incurred with communication devices, X-ray, laboratory, maintenance of electronic medical records, computers, contracts for maintenance and user fees, and mobile capability upkeep, telephone charges, wireless communications capabilities, and other costs incurred with training.

ii. Reimbursement to the Navy - \$2,800,000

The Office of Attending Physician has an ongoing contract with the U.S. Navy for services including medical staff and equipment.

B. Proposed Changes:

i. Miscellaneous - \$5,000

This increase reflects the additional cost needed for supplies and materials.

ii. Reimbursement to the Navy - (\$4,000)

This decrease reflects the reimbursement estimate for Active Duty Personnel as provided by the United States Navy.

Appendices to the U.S. House of Representatives Zero-Based Budgeting Request

During the formulation of FY2021, several offices throughout the U.S. House of Representatives utilized principles of Zero-Based Budgeting (ZBB) to develop their request in a more efficient and transparent manner. The Appendix provides additional information regarding how each of the offices derived their requests utilizing principles of ZBB. The Appendices for each House Office are in the following order:

- Office of the Clerk
- Office of the Sergeant At Arms
- Office of the Chief Administrative Officer
- Office of Diversity and Inclusion
- Office of the Whistleblower Ombudsman
- Office of Inspector General
- Office of General Counsel
- Office of the Parliamentarian
- Office of the Law Revision Counsel
- Office of the Legislative Counsel
- Office of Interparliamentary Affairs
- Office of Congressional Ethics

Office of the Clerk

FY 2021 Zero-Based Budgeting Appendix to the Narrative of Schedule C

Legislative History

The Office of the Clerk of the House of Representatives was established constitutionally in 1789. The duties of the Office are mandated by law, House Rules, policies, and traditions of the House.

Mission Statement

The Office of the Clerk provides procedural assistance and support necessary for the orderly conduct and dissemination of the official business of the House.

FY2021 Budget Request

\$32,824,000

Nearly 90% of the \$33 million Budget Submission is requesting funding for non-discretionary line items/activities including compensation, stenographic reporting, closed captioning, software maintenance, warranties, etc. Of the remaining 10%, approximately half is for the modernization projects and resiliency activities.

86% of the overall FY2021 Clerk Request is for non-discretionary fund items.	
Amount	Brief Description
\$ 25,390,732	Personnel Services (Salaries of existing 224 authorized positions, overtime, longevities, and COLAs)
\$ 229,000	RCU (Rent, Communications and Utilities: the monthly telephone bills)
\$ 483,600	CC (Closed Captioning House Contract for CSPAN hearing impaired viewers)
\$ 800,000	STENO (Stenographic Reporting service contracts for House Legislative Floor activities, hearings, investigations, etc.)
\$ 27,000	Receptions (Family Room, Office of the Clerk, Office of the Chaplain, and Office of the Historian receptions)
\$ 1,346,418	Technical Operational Support (Maintenance, Warranties, and Repair contracts for equipment such as the steno machines, applications, printers, servers, etc.)
\$ 28,276,750	Total requested funding for official and operational purposes
90% of the \$639,660 program changes requested is for Clerk Projects:	
	\$251,000 - BCDR/Resiliency exercises, purchases and activities.
	\$325,000 - House Modernization Initiatives such as updating the Clerk's Website, BioGuide, and the Comparative Print (Posey).
\$ 576,000	

Strategic Plan

The Office of the Clerk aims to be an organization of highly professional staff that leads in providing innovative legislative services and support to the House, while protecting the integrity and traditions of the institution.

Functional Components

The functional components of the Office of the Clerk are as follows:

Immediate Office - Supplies support to all other office components. Certifies passage by the House of all approved bills and joint resolutions. Attests to and affixes the House seal to all writs, warrants, subpoenas, and formal documents issued by the House. It also manages and supervises the office and staff of any deceased, resigned or expelled Member until a successor is elected. This functional component oversees mission critical non-discretionary mandates such as closed captioning for the U.S. House of Representatives and as previously stated vacant Member offices.

Legislative Operations - Supports legislative activities on the Floor; operates the Electronic Voting System; prepares messages informing the Senate of House-passed legislation; reads and processes bills, resolutions, motions, and presidential messages; publishes the minutes of House proceedings; and prepares summaries of House Floor and Committee activities for the Congressional Record. All 25 positions within this functional component deliver mission critical support to House legislative floor activities daily.

Legislative Computer Systems (LCS) - Develops and maintains systems that support the legislative process and public disclosure filing. LCS maintains the Office of the Clerk's website, develops applications for Clerk and House-wide initiatives, provides technical support, and coordinates legislative data exchange with institutional partners. In addition, this functional component of the Office of the Clerk oversees the business continuity disaster recovery component and coordinates with the Office of the Chief Administrative Officer to ensure resiliency operations will indeed be in effect in case of an emergency.

Official Reporters - Provides daily reporting and transcribing of House Floor proceedings for inclusion in the House portion of the Congressional Record and House Committee hearings and markups. This functional component also performs mission critical services for House Legislative operations and business sometimes seven days a week, including holidays via transcription and reporting services.

Legislative Resource Center (LRC) - Responds to inquiries about legislative activities, functions as the repository and disseminator of House legislative documents, manages public disclosure documents, maintains the House's official rolls and lists, operates the House Library, produces informational publications, and serves as liaison to the Government Publishing Office.

Capitol Service Group - Maintains the Lindy Claiborne Boggs Congressional Women's Reading Room, the Members and Family Committee Room, and the Congressional Prayer Room, which provide Members and their families with spaces near the House Chamber.

Office of House Employment Counsel (OHEC) - Provides House employing offices with legal advice, training, and representation in matters arising under the Congressional Accountability Act.

Office of Communications - Informs the House community about the services of the Office of the Clerk and provides messaging and creative support to all divisions of the organization and to the Office of the Historian and other institutional partners.

Office of Art and Archives (OAA) and Office of the Historian - These Offices research and collect more than 200 years of House history in the form of documents, artifacts, biographical information, historical information, historical analysis, and artwork, providing a variety of services concerning historical publications, the House Collection, and the records of the House. The Offices maintain the House entries of the *Biographical Directory of the United States Congress* and present original research in exhibits and

publications such as *Women in Congress, 1917-2017*, *Black Americans in Congress, 1870-2007*, *Hispanics in Congress, 1822-2012*, and *Asian and Pacific Islander Americans in Congress, 1900-2017*. The OAA curates the House Collection of fine art and historical artifacts, collecting and caring for the more than 2,000 objects, resulting in exhibitions, publications, and commissions. The OAA also process the records of the House and oversees their eventual safe transfer to the National Archives, helps House Committees and Officers identify records for permanent retention, and provides management advice to Members for their congressional papers.

Zero-Based Budgeting Applied

At the beginning of the internal Clerk-wide FY 2021 budget formulation cycle we asked the chief of each division to prepare their request by first determining the level of service envisioned to be mission critical that will support required House operations and activities in the future. For instance, our divisions were asked to take into account whether the fiscal year duration in question will include the start of a Presidential Election Year. Additionally, chiefs reviewed prior year activity and deducted all non-recurring expenses associated with projects/programs needed, services no longer delivered and/or one-time only activities. Next, they were asked to add any new services and purchase requirements that are 'in the pipeline' planning for FY 2021; for example, modernization of applications, platforms and mandates such as Financial Disclosures and the Comparative Print Project (Posey), resiliency exercises and funding closed captioning as well as stenographic support for legislative floor activities, hearings, etc.

Just as non-personnel costs were developed from the ground up, personnel costs were determined and computed using the same reasoning. We reviewed current and future needs of the organization in comparison to all filled and vacant positions on the most recent roster, ensured adequate funding for all positions' pay categories (Speaker's Pay Order and HEPCA based on the most current CHA approved HS-Pay Scale), the two projected cost of living adjustments (COLAs), then budgeted for anticipated increases such as longevity. The result of this exercise was a budget request that is \$2.058 million more than the FY 2020 Enacted level of funding.

Office of the Sergeant at Arms

FY 2021 Zero-Based Budgeting Appendix to the Narrative of Schedule C

Legislative History

The Sergeant at Arms is an Officer of the House of Representatives whose duties are mandated in law, House rules, customs, and policies. Under the authority of House Rule II, the Sergeant at Arms serves as the House's chief law enforcement and chief protocol officer. The Sergeant at Arms is responsible for administering the security of Members of Congress, Congressional staff, visitors, and property within the Capitol complex while maintaining open access to the People's House. The Sergeant at Arms is also charged with maintaining order and decorum in the House Chamber.

Mission Statement

The Office of the Sergeant at Arms is focused on providing the maximum degree of support to Members of Congress and their staff. This is accomplished by coordinating police, protocol, and administrative services as a highly integrated, flexible, and professional organization.

FY 2021 Budget Request

\$26,086,000

Functional Components

The employees of the Office of the Sergeant at Arms are our most valued assets and have a shared responsibility in fulfilling our mission of service towards the House community. The Office is comprised of seven divisions with funding for 163 FTE. Staff within each division (functional component) of the Office of the Sergeant at Arms are tasked with providing essential services in support of the Constitutional roles and responsibilities of the House of Representatives.

The Sergeant at Arms is requesting an increase of the Sergeant at Arms' FTE by 3. These new FTE will allow the Sergeant at Arms to increase its service to the House community through enhanced coordination of security services and emergency preparedness responsibilities. The FTE will be allocated as follows:

Immediate Office - The Sergeant at Arms Immediate Office oversees and administers all divisions within the organization. The Immediate Office is made up of administrative, operational, legal and advisory staff. Administrative staff provide support to all divisions within the organization on budgeting, finance, human resource activities and Member and staff services. Operational staff provide operational guidance and coordination among all divisions in preparation for and response to emergency events. Legal and advisory staff provide support and guidance to the Sergeant at Arms on a variety of issues pertaining to the safety and security of the Capitol complex and its occupants. To support these activities, a total of \$2,023,494 is requested for personnel and non-personnel items and services. The \$1,548,494 for personnel will fund 12 FTE. Funding for non-personnel items and services is \$475,000. This is a decrease from FY20. The decrease is due, in part, to non-recurring costs associated with travel to advance and support the 2020 Presidential conventions. Additionally, the decrease is attributed to the non-recurring costs associated with the FY20 purchase of Member and spouse

SAA-1

identification pins and license plates for use in the 117th Congress.

Protocol and Chamber Operations - The Division of Protocol and Chamber Operations is comprised of the following sections: Chamber Security, Chamber Support Services, House Appointments Desks and Protocol and Special Events. Chamber Security and Chamber Support Services staff facilitate access to and maintain decorum in the House Chamber. Appointments Desk staff facilitate access to the Capitol Building for visitors on official business. Protocol and Special Events staff assist with the ceremonial duties of the Sergeant at Arms. To support these activities, a total of \$3,525,990 is requested for personnel and non- personnel items and services. The \$3,408,990 for personnel will fund 51 FTE. Funding for non-personnel items and services is \$117,000. This is a decrease from FY20. This decrease is due to non-recurring costs associated with the purchase of supplies in FY20.

House Garages and Parking Security- The Division of House Garages and Parking Security is responsible for the safety and security of all vehicles and pedestrians in the House garages and parking areas. Staff in this division enforce the parking policies and allocations set forth by the Committee on House Administration. To support these activities, a total of \$2,593,129 is requested for personnel and non- personnel items and services. The \$2,569,129 for personnel will fund 40 FTE. Funding for non-personnel items and services is \$24,000. This is a decrease from FY20. This decrease is due to non-recurring costs associated with the purchase of supplies and equipment in FY20.

House Security - The Division of House Security serves as a central location to oversee the issuance, administration, and verification of all House of Representatives security clearances. This division also serves as a central repository for classified materials and is responsible for receiving, controlling, transmitting, storing, and destroying classified information. Staff in this division provide training for Members of Congress and House staff on the protocols and responsibilities in the handling and storing of classified materials, foreign travel, counterintelligence, and operations security. To support these activities a total of \$695,962 is requested for personnel. This amount will fund 6 FTE plus 1 new FTE. This new FTE will manage the security education portfolio for the division and will develop on-line security briefings for House staff. Please note, we are not requesting funding for non-personnel items and services for this functional component in FY21. Therefore, the decrease in non-personnel funding is due to non- recurring costs associated with the purchase of equipment in FY20.

Information Services - The Division of Information Services consists of Information Technology and Identification Services. The Information Technology section provides technical support for the entire organization. The Identification Services section assists with the security of the Capitol complex by issuing identification badges to all authorized personnel employed by the House of Representatives and the Architect of the Capitol. To support these activities, a total of \$2,205,668 is requested for personnel and non-personnel items and services. The \$1,625,668 for personnel will fund 17 FTE. Funding for non-personnel items and services is \$580,000. This is a decrease from FY20. This decrease is due to non- recurring costs related to contract support in FY20.

Police Services/Law Enforcement- The Division of Police Services and Law Enforcement provides logistical and security support for on and off campus events involving Members of Congress and administers several programs to enhance the safety and security of all Members, staff and visitors. To support these activities, a total of \$6,884,791 is requested for personnel and non-personnel items and services. The \$1,974,791 for personnel will fund 16 FTE plus 1 new FTE. This new FTE will assist with increasing security requirements to protect Members, staff and offices in Member districts. Funding for non-personnel items and services is \$4,910,000. This is an increase from FY20. This increase is due, in part, to estimated costs for reimbursement to the United States Capitol Police providing security for House Leadership while travelling outside of the United States. The increase is also attributed to costs associated with the District Office Security Program. This program provides for the purchase, installation, maintenance and monitoring of equipment used

to enhance the security of Member district offices. Funding will also allow Sergeant at Arms staff travel to Member district offices to provide security awareness briefings and assistance with security systems, as well as the continued purchase of mail hoods to enhance mail security.

Emergency Management- The Division of Emergency Management serves as the focal point for the House of Representatives emergency planning and continuity programs. The division manages the House of Representatives life safety support programs, the House Operations Center, and internal continuity activities for the Office of the Sergeant at Arms. To support these activities, a total of \$7,984,466 is requested for personnel and non-personnel items and services. The \$2,266,466 for personnel will fund 20 FTE plus 1 new FTE. This new FTE will assist with emergency preparedness, operations, and planning efforts of the office. Funding for non-personnel items and services is \$5,718,000. This is an increase from FY20. This increase is due to costs associated with the House-wide upgrade and replacement of annunciators used to provide notifications during emergency events.

Zero-Based Budgeting Applied

In the spirit of zero based budgeting, the Sergeant at Arms has reviewed the needs of each division and produced a budget that allows the Office of the Sergeant at Arms to continue to provide exceptional services to the Congressional community while remaining fiscally responsible.

Office of the Chief Administrative Officer

FY21 Zero-Based Budgeting Appendix to the Narrative of Schedule C

Legislative History

The Chief Administrative Officer (CAO) is an Officer of the House of Representatives (House) and is elected by majority vote of Members at the start of each Congress. Pursuant to House Rule II, the CAO directs non-legislative, budgetary, financial and administrative functions of the House subject to the oversight of the Committee on House Administration.

Mission Statement

We serve the House community by providing administrative, technical, and operational solutions so Members can perform their Constitutional duties.

FY21 Budget Request

\$190,236,000

Strategic Plan

Before the start of the 115th Congress, in the Fall of 2016, Chief Administrative Officer Phil Kiko assembled a cross-functional team of employees to lead a comprehensive, organization-wide initiative to define the CAO's present-day purpose, corresponding mission and vision, and a five-year strategy to maximize the CAO's service potential.

In its five-year Strategic Plan, the CAO identified customer, process, stewardship, and employee goals critical to fulfilling its modernized mission. During the 115th Congress, the CAO operationalized its plan, which yielded operational improvements for the House across the entire organization and even spurred the creation of two entirely new business units – the Customer Experience Center and the Office of Risk Management. It also laid the foundation for a new internal governance structure that facilitates organization-wide awareness and feedback on CAO service decisions.

Organization - Functional Components

The CAO supports the House community by providing administrative, technical, and operational solutions to the House. The CAO staff is a team of dedicated professionals with extensive public and private sector work experience. The staff is divided among nine divisions: CAO Immediate Office, Acquisitions Management, Customer Experience Center, Office of Finance, House Information Resources, House Recording Studio, Human Resources, Logistics and Support, and Risk Management. During the zero-based budgeting process, personnel budgets were allocated to all divisions. Below is a summary of the fiscal year (FY) 2021 budget request:

	FY20 Enacted per P.L. 116-94	FY21 Budget Request	FY21 Request vs. FY20 Enacted \$	FY21 Request vs. FY20 Enacted %	FY20 Request %
Chief Administrative Officer					
CAO Immediate Office and Galleries	\$ 9,254,000	\$ 20,677,000	\$ 11,423,000	123%	11%
Acquisitions Management	\$ 9,131,000	\$ 10,184,000	\$ 1,053,000	12%	5%
Customer Experience Center	\$ 10,100,000	\$ 11,028,000	\$ 928,000	9%	6%
Finance	\$ 9,493,000	\$ 11,459,000	\$ 1,966,000	21%	6%
House Information Resources	\$ 87,380,000	\$ 98,668,253	\$ 11,288,253	13%	52%
House Recording Studio	\$ 6,266,000	\$ 7,055,000	\$ 789,000	13%	4%
Human Resources	\$ 4,802,000	\$ 9,688,000	\$ 4,886,000	102%	5%
Logistics & Support	\$ 15,086,000	\$ 16,884,747	\$ 1,798,747	12%	9%
Risk Management	\$ 968,000	\$ 1,902,000	\$ 934,000	96%	1%
Strategic Initiatives	\$ 1,070,000	\$ 2,690,000	\$ 1,620,000	151%	1%
Total CAO Budget	\$ 153,550,000	\$ 190,236,000	\$ 36,686,000	24%	100%

NOTE: Business Unit budgets above include both personnel and non-personnel expenses.

CAO Immediate Office - CAO Immediate Office (CAO IO) provides administrative solutions in the form of leadership and management of the CAO. The CAO IO directorates include the CAO Immediate Office, Radio TV Gallery, Periodical Press Gallery, the Daily Press Gallery, and the Office of Employee Advocacy.

CAO IMMEDIATE OFFICE SUMMARY - FY21 BUDGET REQUEST TABLE

Description	Amount	Narrative
Tier 1: Flat FY20 Budget		
11-Personnel Compensation	\$ 6,500,000	Flat with the FY20 Appropriations Act.
21-Travel	\$ 73,000	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ 95,000	
24-Printing	\$ 11,000	
25-Other Services	\$ 2,404,000	
26-Supplies and Materials	\$ 75,000	
31-Equipment	\$ 96,000	
Subtotal Tier 1	\$ 9,254,000	
Tier 2: Zero-based budgeting applied to Flat FY20 Budget		
11-Personnel Compensation	\$ 846,000	The FY21 budget request for the CAO IO is \$11,423,000 or 123% above the FY20 Appropriations Act. This request includes \$10,000,000 for initiatives recommended by the Select Committee on Modernization and approved by the Committee on House Administration. Additional funding will support a required increase for the Radio TV Gallery, for costs associated with the CVC digital signage update; funding for contractor support for business transformation initiatives; and personnel funding for anticipated cost of living adjustments (COLAs) and longevities.
21-Travel	\$ (1,000)	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ 1,000	
24-Printing	\$ -	
25-Other Services	\$ 10,547,000	
26-Supplies and Materials	\$ -	
31-Equipment	\$ 30,000	
Subtotal Tiers 1&2	\$ 20,677,000	
Tier 3: Optimal funding above Tiers 1 & 2		
11-Personnel Compensation	\$ -	Not requested.
21-Travel	\$ -	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ -	
26-Supplies and Materials	\$ -	
31-Equipment	\$ -	
Subtotal Tiers 1, 2, & 3	\$ 20,677,000	

Acquisitions Management - Acquisitions Management (Acquisitions) is responsible for House-wide purchasing, contract planning and execution, and contract administration for Food Services, Shoe Shine Services, Barber Shop, Fitness Center, Dry Cleaners, Office Supply Store & Gift Shop, and Traditional and Digital Mail operations.

ACQUISITIONS MANAGEMENT SUMMARY - FY21 BUDGET REQUEST TABLE

Description	Amount	Narrative
Tier 1: Flat FY20 Budget		
11-Personnel Compensation	\$ 2,567,000	Flat with the FY20 Appropriations Act.
21-Travel	\$ -	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ 95,700	
24-Printing	\$ -	
25-Other Services	\$ 6,142,800	
26-Supplies and Materials	\$ -	
31-Equipment	\$ 325,500	
Subtotal Tier 1	\$ 9,131,000	
Tier 2: Zero-based budgeting applied to Flat FY20 Budget		
11-Personnel Compensation	\$ 173,000	The FY21 budget request for Acquisitions is \$1,053,000 or 12% above the FY20 Appropriations Act. Additional funding will support the cost of the new Digital and Traditional Mail contract, which was awarded in September 2019; and personnel funding for anticipated COLAs, longevities, and overtime.
21-Travel	\$ -	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ 55,300	
24-Printing	\$ -	
25-Other Services	\$ 713,200	
26-Supplies and Materials	\$ -	
31-Equipment	\$ 111,500	
Subtotal Tiers 1&2	\$ 10,184,000	
Tier 3: Optimal funding above Tiers 1 & 2		
11-Personnel Compensation	\$ -	Not requested.
21-Travel	\$ -	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ -	
26-Supplies and Materials	\$ -	
31-Equipment	\$ -	
Subtotal Tiers 1,2, & 3	\$ 10,184,000	

Customer Experience Center - The Customer Experience Center (CEC) ensures exceptional customer experiences for all CAO services delivered to the House community, connecting CAO technical, administrative and operational experts with their customers through the services provided by its four directorates: Customer Experience Center Immediate Office (IO); Communications & Marketing; House Creative Services; and Customer Services.

CUSTOMER EXPERIENCE CENTER SUMMARY - FY21 BUDGET REQUEST TABLE

Description	Amount	Narrative
Tier 1: Flat FY20 Budget		
11-Personnel Compensation	\$ 4,617,000	Flat with the FY20 Appropriations Act.
21-Travel	\$ 99,000	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ 60,000	
24-Printing	\$ 18,000	
25-Other Services	\$ 3,831,000	
26-Supplies and Materials	\$ 454,000	
31-Equipment	\$ 1,021,000	
Subtotal Tier 1	\$ 10,100,000	
Tier 2: Zero-based budgeting applied to Flat FY20 Budget		
11-Personnel Compensation	\$ 109,000	The FY21 budget request for CEC is \$928,000 or 9% above the FY20 Appropriations Act. This request supports the mandatory annual House-wide Workplace Rights & Responsibility Training program for all House staff. Additional funding will support the enterprise subscription to the National Journal Publication for Member, Committee and Leadership offices; a new Customer Relationship Management (CRM) system, implementation and training for CAO staff; and personnel funding for anticipated COLAs, longevities, and overtime.
21-Travel	\$ -	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ (127,000)	
26-Supplies and Materials	\$ 610,000	
31-Equipment	\$ 336,000	
Subtotal Tiers 1&2	\$ 11,028,000	
Tier 3: Optimal funding above Tiers 1 & 2		
11-Personnel Compensation	\$ -	Not requested.
21-Travel	\$ -	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ -	
26-Supplies and Materials	\$ -	
31-Equipment	\$ -	
Subtotal Tiers 1,2, & 3	\$ 11,028,000	

Finance - The Office of Finance (Finance) provides financial management services to Leadership, Members, Committees, Officers and Offices of the U.S. House of Representatives (House).

FINANCE SUMMARY - FY21 BUDGET REQUEST TABLE

Description	Amount	Narrative
Tier 1: Flat FY20 Budget		
11-Personnel Compensation	\$ 8,301,000	Flat with the FY20 Appropriations Act.
21-Travel	\$ 47,000	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ 106,000	
24-Printing	\$ 4,000	
25-Other Services	\$ 896,000	
26-Supplies and Materials	\$ 67,000	
31-Equipment	\$ 72,000	
Subtotal Tier 1	\$ 9,493,000	
Tier 2: Zero-based budgeting applied to Flat FY20 Budget		
11-Personnel Compensation	\$ 1,544,000	The FY21 budget request for Finance is \$1,966,000 or 21% above the FY20 Appropriations Act. Additional funding will support vacant positions which have been filled in FY20, existing retirement counseling services contractors, and personnel funding for anticipated COLAs, longevities, and overtime.
21-Travel	\$ 11,000	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ 3,000	
24-Printing	\$ -	
25-Other Services	\$ 377,000	
26-Supplies and Materials	\$ 1,000	
31-Equipment	\$ 30,000	
Subtotal Tiers 1&2	\$ 11,459,000	
Tier 3: Optimal funding above Tiers 1 & 2		
11-Personnel Compensation	\$ -	Not requested.
21-Travel	\$ -	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ -	
26-Supplies and Materials	\$ -	
31-Equipment	\$ -	
Subtotal Tiers 1,2, & 3	\$ 11,459,000	

House Information Resources - House Information Resources (HIR) manages the technology solutions for the House community. HIR provides cybersecurity products and services, campus voice and data services, active directory management, email and messaging, mobile communications support, website development, Broadband Connectivity and Virtual Private Network (VPN) connection support, financial services applications, and video teleconferencing through the House's public wireless network. HIR is also responsible for managing large scale software/hardware implementations and providing customer support for desktop and mobile solutions.

HOUSE INFORMATION RESOURCES SUMMARY - FY21 BUDGET REQUEST TABLE

Description	Amount	Narrative
Tier 1: Flat FY20 Budget		
11-Personnel Compensation	\$ 34,619,000	Flat with the FY20 Appropriations Act.
21-Travel	\$ 224,000	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ 4,562,000	
24-Printing	\$ 30,000	
25-Other Services	\$ 21,798,000	
26-Supplies and Materials	\$ 855,000	
31-Equipment	\$ 25,292,000	
Subtotal Tier 1	\$ 87,380,000	
Tier 2: Zero-based budgeting applied to Flat FY20 Budget		
11-Personnel Compensation	\$ 2,697,000	The FY21 budget request for HIR is \$11,288,253 or 13% above the FY20 Appropriations Act. Additional funding will support the migration of House applications to the cloud, strengthening cybersecurity, technology recapitalization, hardware and software maintenance support, and associated contractor support. It will also support increased costs for maintenance, lifecycle replacements and upgrades, and software licenses and support used by the House community; and personnel funding for anticipated COLAs, longevities, and overtime.
21-Travel	\$ 13,000	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ 379,000	
24-Printing	\$ (5,000)	
25-Other Services	\$ 1,554,971	
26-Supplies and Materials	\$ 61,000	
31-Equipment	\$ 6,588,282	
Subtotal Tiers 1&2	\$ 98,668,253	
Tier 3: Optimal funding above Tiers 1 & 2		
11-Personnel Compensation	\$ -	Not requested.
21-Travel	\$ -	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ -	
26-Supplies and Materials	\$ -	
31-Equipment	\$ -	
Subtotal Tiers 1,2, & 3	\$ 98,668,253	

House Recording Studio - The House Recording Studio (HRS) provides House floor coverage through Committee broadcast and studio operations. HRS also manages Committee Hearing Room renovations and equipment replacement.

HOUSE RECORDING STUDIO SUMMARY - FY21 BUDGET REQUEST TABLE

Description	Amount	Narrative
Tier 1: Flat FY20 Budget		
11-Personnel Compensation	\$ 4,672,000	Flat with the FY20 Appropriations Act.
21-Travel	\$ 10,000	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ 180,000	
24-Printing	\$ -	
25-Other Services	\$ 530,000	
26-Supplies and Materials	\$ 70,000	
31-Equipment	\$ 804,000	
Subtotal Tier 1	\$ 6,266,000	
Tier 2: Zero-based budgeting applied to Flat FY20 Budget		
11-Personnel Compensation	\$ 711,000	The FY21 budget request for the HRS is \$789,000 or 13% above the FY20 Appropriations Act. Additional funding will support the equipment and travel costs associated with providing Field Hearing support for Committees conducting hearings off campus; and personnel funding for anticipated COLAs, longevities, and overtime.
21-Travel	\$ 100,000	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ (5,000)	
26-Supplies and Materials	\$ -	
31-Equipment	\$ (17,000)	
Subtotal Tiers 1&2	\$ 7,055,000	
Tier 3: Optimal funding above Tiers 1 & 2		
11-Personnel Compensation	\$ -	Not requested.
21-Travel	\$ -	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ -	
26-Supplies and Materials	\$ -	
31-Equipment	\$ -	
Subtotal Tiers 1,2, & 3	\$ 7,055,000	

Human Resources - The Office of Human Resources (HR) provides personnel services to the CAO and ADA assistance to Members. The HR Immediate Office (which encompasses CAO Human Resources, Diversity and Organizational Change Management, Privacy Assurance, and Personnel Security and Safety) provides the full lifecycle of HR services to the CAO organization. Within HR, the Office of Employee Assistance and House Wounded Warrior Program provide external House-wide HR services.

HUMAN RESOURCES SUMMARY - FY21 BUDGET REQUEST TABLE

Description	Amount	Narrative
Tier 1: Flat FY20 Budget		
11-Personnel Compensation	\$ 3,335,000	Flat with the FY20 Appropriations Act.
21-Travel	\$ 138,000	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ 31,000	
24-Printing	\$ 28,000	
25-Other Services	\$ 1,029,000	
26-Supplies and Materials	\$ 77,000	
31-Equipment	\$ 164,000	
Subtotal Tier 1	\$ 4,802,000	
Tier 2: Zero-based budgeting applied to Flat FY20 Budget		
11-Personnel Compensation	\$ 4,636,000	The FY21 budget request for HR is \$4,886,000 or 102% above the FY20 Appropriations Act. Additional funding will support program enhancements that support the CAO Strategic Plan's Employee Goal of ensuring a professional and engaged CAO workforce; on-going services and activities offered by the Office of Employee Assistance; expanded activities offered by the House Wellness Center; and personnel funding for anticipated COLAs, longevities, and overtime. This increase also includes \$4,300,000 for 25 additional positions, to support forecasted needs aligned to modernization efforts, and operational and strategic gaps across business units; and 21 identified opportunities to convert staff augmentation contractors to full-time equivalent positions.
21-Travel	\$ 10,000	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ 5,000	
25-Other Services	\$ 235,000	
26-Supplies and Materials	\$ -	
31-Equipment	\$ -	
Subtotal Tiers 1&2	\$ 9,688,000	
Tier 3: Optimal funding above Tiers 1 & 2		
11-Personnel Compensation	\$ -	Not requested.
21-Travel	\$ -	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ -	
26-Supplies and Materials	\$ -	
31-Equipment	\$ -	
Subtotal Tiers 1,2, & 3	\$ 9,688,000	

Logistics & Support - Logistics & Support (L&S) manages furniture and furnishings for the House community including providing furniture, furniture refurbishment, carpeting, draperies, upholstery, cabinet making, finish schedule activities, delivery and setup of furniture in offices, meetings and special event rooms, as well as warehousing furniture inventory. Additionally, L&S manages Asset Management for the House.

LOGISTICS & SUPPORT SUMMARY - FY21 BUDGET REQUEST TABLE

Description	Amount	Narrative
Tier 1: Flat FY20 Budget		
11-Personnel Compensation	\$ 9,337,000	Flat with the FY20 Appropriations Act.
21-Travel	\$ 81,000	
22-Transportation of Things	\$ 18,000	
23-Rent, Communications, Utilities	\$ 111,000	
24-Printing	\$ -	
25-Other Services	\$ 2,181,000	
26-Supplies and Materials	\$ 1,302,000	
31-Equipment	\$ 2,056,000	
Subtotal Tier 1	\$ 15,086,000	
Tier 2: Zero-based budgeting applied to Flat FY20 Budget		
11-Personnel Compensation	\$ 832,000	The FY21 budget request for L&S is \$1,798,747 or 12% above the FY20 Appropriations Act. Additional funding will support necessary contractor support and resources needed to continue normal Logistics & Support services and delivery times for all areas; the increased costs of the new warehouse contract; temporary contractors for operational support; and personnel funding for anticipated COLAs, longevities, and overtime.
21-Travel	\$ 25,000	
22-Transportation of Things	\$ 18,000	
23-Rent, Communications, Utilities	\$ 28,000	
24-Printing	\$ -	
25-Other Services	\$ 290,023	
26-Supplies and Materials	\$ 52,000	
31-Equipment	\$ 553,724	
Subtotal Tiers 1&2	\$ 16,884,747	
Tier 3: Optimal funding above Tiers 1 & 2		
11-Personnel Compensation	\$ -	Not requested.
21-Travel	\$ -	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ -	
26-Supplies and Materials	\$ -	
31-Equipment	\$ -	
Subtotal Tiers 1,2, & 3	\$ 16,884,747	

Office of Risk Management – The Office of Risk Management (ORM) provides risk-based information to assist with decisions to target resources at the highest risk areas that help ensure the CAO's Mission and objectives are met. ORM also facilitates Office of Inspector General and external financial statement audit activities, remediation efforts and oversight of the newly established Shared Employee Compliance Program. ORM is comprised of the ORM directorate and includes Enterprise Risk Management (ERM) and the Audit and Compliance programs.

OFFICE OF RISK MANAGEMENT SUMMARY - FY21 BUDGET REQUEST TABLE

Description	Amount	Narrative
Tier 1: Flat FY20 Budget		
11-Personnel Compensation	\$ 272,000	Flat with the FY20 Appropriations Act.
21-Travel	\$ -	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ 9,000	
24-Printing	\$ 5,000	
25-Other Services	\$ 678,000	
26-Supplies and Materials	\$ 1,000	
31-Equipment	\$ 3,000	
Subtotal Tier 1	\$ 968,000	
Tier 2: Zero-based budgeting applied to Flat FY20 Budget		
11-Personnel Compensation	\$ 634,000	The FY21 budget request for ORM is 934,000 or 96% above the FY20 Appropriations Act. Additional funding will support contractor support for Enterprise Risk Management development and implementation; and personnel funding for anticipated COLAs and longevity.
21-Travel	\$ -	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ 300,000	
26-Supplies and Materials	\$ -	
31-Equipment	\$ -	
Subtotal Tiers 1&2	\$ 1,902,000	
Tier 3: Optimal funding above Tiers 1 & 2		
11-Personnel Compensation	\$ -	Not requested.
21-Travel	\$ -	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ -	
26-Supplies and Materials	\$ -	
31-Equipment	\$ -	
Subtotal Tiers 1,2, & 3	\$ 1,902,000	

Strategic Initiatives/CAO-Wide – Strategic Initiatives/CAO-Wide provides funding for key initiatives in support of the CAO's Mission to serve the House community by providing administrative, technical, and operational solutions so Members can perform their Constitutional duties. These funds are used to support efforts that strengthen security, improve visibility and access, and simplify compliance.

STRATEGIC INITIATIVES SUMMARY - FY21 BUDGET REQUEST TABLE

Description	Amount	Narrative
Tier 1: Flat FY20 Budget		
11-Personnel Compensation	\$ -	Flat with the FY20 Appropriations Act.
21-Travel	\$ -	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ 870,000	
26-Supplies and Materials	\$ -	
31-Equipment	\$ 200,000	
Subtotal Tier 1	\$ 1,070,000	
Tier 2: Zero-based budgeting applied to Flat FY20 Budget		
11-Personnel Compensation	\$ -	The FY21 budget request for Strategic Initiatives is \$1,620,000 or 151% above the FY20 Appropriations Act. Strategic Initiatives provides funding for costs associated with upgrades to the House's enterprise human resource and financial systems.
21-Travel	\$ -	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ 1,620,000	
26-Supplies and Materials	\$ -	
31-Equipment	\$ -	
Subtotal Tiers 1&2	\$ 2,690,000	
Tier 3: Optimal funding above Tiers 1 & 2		
11-Personnel Compensation	\$ -	Not requested.
21-Travel	\$ -	
22-Transportation of Things	\$ -	
23-Rent, Communications, Utilities	\$ -	
24-Printing	\$ -	
25-Other Services	\$ -	
26-Supplies and Materials	\$ -	
31-Equipment	\$ -	
Subtotal Tiers 1,2, & 3	\$ 2,690,000	

Zero-Based Budgeting Applied

The CAO is committed to sound management of resources and delivery of exceptional services to the House community. The FY21 Request of \$190.2 million is \$36.7 million or 24% above the FY20 Enacted current services. Of that amount, \$13 million is associated with the reduction to the FY20 base, thus making the FY21 increase \$23.7 million or 14%.

The CAO conducted a comprehensive review of its budget to ensure resources were allocated to mission essential activities. All FY21 programs, projects and activities (PPAs) were reviewed and revised as needed. Each Business Unit Chief provided a brief overview of requirements, justification of costs, and impacts if the services are not funded, as well as the five-year budget requirement (FY21 through FY25). These discussions informed need for additional resources over current services to support emergent requirements. The \$36.7 million increase over FY20 Enacted is for: House Information Resources costs (\$10.2 million) including costs associated with upgrades to the House's enterprise human resource and financial systems; the CAO IO for initiatives (\$10 million) recommended by the Select Committee on Modernization and approved by the Committee on House Administration; CAO Personnel costs for 25 additional FTE positions, to support forecasted needs aligned to modernization efforts, and operational and strategic gaps across business units; and 21 identified opportunities to convert staff augmentation contractors to full-time equivalent positions (\$4.3 million); and an increase in CAO Personnel to fully fund existing personnel, staff longevities, COLAs and overtime (\$12.2 million). Without these mandatory expenses and costs associated with anticipated COLAs, longevities and overtime, the CAO's FY21 request is virtually flat with the FY20 Enacted current services.

Office of Diversity and Inclusion

FY 2021 Zero-Based Budgeting Appendix to the Narrative of Schedule C

Legislative History

The Office of Diversity and Inclusion (ODI) was established by H.Res. 6 in the 116th Congress.

Mission Statement

The mission of the ODI is to provide guidance, expertise, and support to House entities to create and maintain a diverse workforce, consistent with all applicable House rules, regulations, and laws.

FY 2021 Budget Request

\$1,000,000

Strategic Plan

The ODI will support the Speaker of the House and Members in developing a Diversity Plan and supporting policies that will guide House employee recruitment, hiring, training, development, advancement, promotion, and retainment of a diverse workforce that reflects the diversity of the constituents the House serves.

Functional Components/Goals

- Develop an Operational Plan for ODI
- Provide a Diversity Plan for the House
- Develop diversity policies and guidance
- Create surveys to evaluate diversity and inclusion within the House

Zero-Based Budgeting Applied

The Office of Diversity and Inclusion will apply Zero Based Budgeting in coordination with House budget formulation methodology. Due to ODI being a new office, the baseline was determined by considering the desired operations of this office and what was required to function effectively. As trends in ODI's spending can be analyzed, the ZBB methodology will become an effective tool to develop the budget.

Office of the Whistleblower Ombudsman

FY 2021 Zero-Based Budgeting Appendix to the Narrative of Schedule C

Legislative History

The Office of the Whistleblower Ombudsman (OWB) was established by H.Res. 6 in the 116th Congress.

Mission Statement

The OWB provides information, guidance, and training necessary to ensure federal employees are educated and aware of workplace rights during the reporting of waste, fraud, and/or abuse in order to achieve greater transparency and efficiency within the U.S. House of Representatives.

FY 2021 Budget Request

\$750,000

Strategic Plan

The OWB under the direction of the Committee on House Administration, and in consultation with any other standing committee and the Permanent Select Committee on Intelligence shall promulgate best practices for Whistleblower intake for offices of the House. The OWB shall provide training for offices of the House on Whistleblower intake, including establishing an effective reporting system for Whistleblowers, maintaining Whistleblower confidentiality, advising staff of relevant laws and policies and protecting information provided by Whistleblowers.

Functional Components/Goals

- Promulgate best practices for House offices
- Create procedures to properly receive Whistleblower submissions
- Provide training to House staff to properly report instances of waste, fraud, and/or abuse and maintain confidentiality of Whistleblowers
- Advise House offices of relevant laws and policies regarding Whistleblowers

Zero-Based Budgeting Applied

The Office of the Whistleblower Ombudsman (OWB) will apply Zero Based Budgeting in coordination with House budget formulation methodology. Due to OWB being a new office, the baseline was determined by considering the desired operations of this office and what was required to function effectively. As trends in OWB's spending can be analyzed, the ZBB methodology will become an effective tool to develop the budget.

Office of Inspector General

FY2021 Zero-Based Budgeting Appendix to the Narrative of Schedule C

Legislative History

The Office of Inspector General (OIG) was established by the U.S. House of Representatives in the 103rd Congress, pursuant to the House Administrative Reform Resolution of 1992 (H. Res. 423, 102nd Congress) to conduct periodic audits of the financial and administrative functions of the House and of joint entities.

Mission Statement

The OIG's mission is to provide value-added recommendations for improving the performance, accountability, and integrity of House financial, administrative, and technology-based operations through performance of independent audit, advisory, and investigative services in a non-partisan manner. In collaboration with the Committee on House Administration (Committee), on a bi-partisan basis, the OIG continues to do its part to contribute to a more effective and efficient House support structure by identifying and helping mitigate significant risks to the House, highlighting opportunities for improving the efficiency of House operations, and serving as a risk advisor.

FY 2021 Budget Request

\$5,019,100

Strategic Goals

The OIG supports House governance activities by performing audits, advisory, and investigative services in coordination with the Committee on House Administration and House Leadership.

The OIG has three main Strategic Goals:

- Improve House financial and administrative operations
- Protect the integrity of House financial and administrative operations
- Ensure quality and excellence in our organization

Functional Components

The OIG has an authorized Full-time Equivalent (FTE) strength of twenty-five (25) staff. OIG staff are experienced and dedicated professionals who have extensive public and private sector work experience. Additionally, we require all audit and advisory staff meet the minimum education requirements for government auditors. The staff is divided among four divisions:

- Performance and Financial Audits, and Investigations
- Information Systems Audits
- Management Advisory Services

- Support Services

The OIG operates three distinct, recurring programs:

- Audit, Advisory, and Investigative Services (AAIS)
- Admin and General Operations (ADMIN-OPS)
- Training and Personnel Development (TPDEV)

Audit, Advisory, and Investigative Services (AAIS)

The Office of Inspector General (OIG) AAIS Program provides objective, value-added advice to House Leadership, the Committee on House Administration (Committee), the House Officers, and joint entities in the areas of financial management, administrative operations, business best practices, workplace issues (e.g. health, safety, and physical security), the integrity of information system networks and cyber security, the operations of application systems, and management of the data these systems contain.

The AAIS Program budget includes salaries for the Inspector General (IG), a Deputy IG, and 20 audit, advisory, investigative, and quality assurance staff. The AAIS Program includes a budget for contracting qualified, subject matter experts to provide support on certain management advisory and audit services. Additionally, included is the purchase of program-specific supplies (e.g. computer hardware, software, and forensic tools for audits and investigations), program-related subscriptions, publications, and research services used as guides, references, and resources in the planning and performance of audits, advisories, and investigations. Finally, included in this budget is program-specific training.

AAIS Program – (FY2021 Zero-based Budget)

Program Changes: (\$65,000). The AAIS Program budget was formulated starting with our current FTE salaries. We reviewed the number of our COLA-eligible and COLA- ineligible staff salaries to account for positions that have reached the Speaker's Pay Order (SPO) level or will reach it by FY2021 and made adjustments as needed to calculate the appropriate COLA amount. The OIG formulates its personnel budget at the step 6 level of the highest grade for the position, unless the incumbent of a position is already above the step 6 level in the highest grade; in which case, the budget for that position would be at the actual rate. This methodology for formulating our personnel budget ensures we can hire highly-qualified applicants into a broad range of pay rates for each position's classification.

Next, the non-personnel items were formulated by reviewing amounts from our FY2020 budget and spending plan and determining needs for FY2021. The OIG engages an independent CPA firm to perform the annual audit of the House financial statements. This is an annually recurring expense, so the cost for this audit by an independent contractor is the starting point of our budget for Other Services for FY2021. Since the number of audits and advisories varies from year to year, and the OIG may need to contract with qualified, subject matter experts to provide support on certain audit, management advisory, or investigative services, the Other Services budget line is our best estimate aimed at providing the OIG funding to be flexible and react quickly to any type of engagement the House Leadership, the Committee, or House Officers may need. Additionally, the Other Services budget line funds access to research services, reference guides, and other resources used in the planning and performance of audits, advisories, and investigations. The Other Services budget was reduced to offset the addition of COLA for the eligible AAIS Program's salaries.

For the remainder of the AAIS Program budget, we based our estimates on spending trends and projected activities to determine the minimum amounts needed for current, continuing, and planned services and support.

FY 2021 Budget Request - AUDIT, ADVISORY, AND INVESTIGATIVE SERVICES

Description	Amount
FY 2020 Budget	Appropriations
11-Personnel Compensation	\$ 3,438,529
21-Travel	\$ -
23-Rent, Communications, Utilities	\$ -
24-Printing	\$ -
25-Other Services	\$ 802,387
26-Supplies and Materials	\$ 68,000
31-Equipment	\$ 33,834
Subtotal FY 2020	\$ 4,342,750
Zero-based budgeting applied for FY 2021 Budget	
11-Personnel Compensation	\$ 65,000
21-Travel	\$ -
23-Rent, Communications, Utilities	\$ -
24-Printing	\$ -
25-Other Services	\$ (65,000)
26-Supplies and Materials	\$ -
31-Equipment	\$ -
Subtotal Non-personnel Changes	\$ (65,000)
AAIS PROGRAM FY 2021 Request	\$ 4,342,750

Admin and General Operations (ADMIN-OPS)

The ADMIN-OPS Program provides comprehensive administrative and technical support to the AAIS Program staff and leaders. The ADMIN-OPS budget includes salaries for three Support Services Division staff. This program also includes the purchase of general office supplies, relevant publications; equipment and maintenance agreements, office furnishings, enterprise computer software, hardware, and licensing agreements; communications equipment and service plans, consultant and technical service support, as well as payment for shipment and installation of purchased items.

ADMIN-OPS Program – (FY2021 Zero-based Budget)

Program Changes: (\$8,000). The ADMIN-OPS Program budget was formulated by reviewing amounts from our FY2020 budget and determining needs for FY2021. We added the mandatory COLA increase to COLA-eligible personnel salaries. The OIG formulates its personnel budget at the step 6 level of the highest grade for the position, unless the incumbent of a position is already above the step 6 level in the highest grade; in which case, the budget for that position would be at the actual rate. This methodology for formulating our

personnel budget ensures we can hire highly-qualified applicants into a broad range of pay rates for each position's classification.

FY 2021 Budget Request - ADMIN & GENERAL OPERATIONS PROGRAM

Description	Amount
FY 2020 Budget	Appropriations
11-Personnel Compensation	\$ 410,725
21-Travel	\$ -
23-Rent, Communications, Utilities	\$ 39,145
24-Printing	\$ 1,000
25-Other Services	\$ 89,102
26-Supplies and Materials	\$ 16,000
31-Equipment	\$ 35,531
Subtotal FY 2020	\$ 591,503
Zero-based budgeting applied for FY 2021 Budget	
11-Personnel Compensation	\$ 8,000
21-Travel	\$ -
23-Rent, Communications, Utilities	\$ (8,000)
24-Printing	\$ -
25-Other Services	\$ -
26-Supplies and Materials	\$ -
31-Equipment	\$ -
Subtotal Non-personnel Changes	\$ (8,000)
ADMIN-OPS PROGRAM FY 2021 Request	\$ 591,503

Training (TPDEV)

House Rule II states that the OIG will conduct its audit, investigative, and advisory work in a manner consistent with government-wide auditing standards. These standards require all auditors, and specialists supporting auditors, to have a minimum of 80 hours of specialized training every two years. The TPDEV Program's budget includes funding for training, seminars, and conferences that help ensure the required staff remain in compliance with government auditing standards. Since local training is not always available, the TPDEV Program's budget includes projections for travel expenses.

TPDEV Program – (FY2021 Zero-based Budget)

Program Changes: \$0. The TPDEV Program budget was formulated by reviewing past years' spending trends and estimates to ensure funding for the minimum number of Continuing Professional Education (CPE) credits which staff are required to earn, in accordance with government auditing standards. This is also in line with the OIG's strategic goal of ensuring quality and excellence in our organization.

FY 2021 Budget Request - TRAINING PROGRAM

Description	Amount
FY 2020 Budget	Appropriations
11-Personnel Compensation	\$ -
21-Travel	\$ 11,563
23-Rent, Communications, Utilities	\$ -
24-Printing	\$ -
25-Other Services	\$ 73,184
26-Supplies and Materials	\$ -
31-Equipment	\$ -
Subtotal FY 2020	\$ 84,747
Zero-based budgeting applied for FY 2021 Budget	
11-Personnel Compensation	\$ -
21-Travel	\$ -
23-Rent, Communications, Utilities	\$ -
24-Printing	\$ -
25-Other Services	\$ -
26-Supplies and Materials	\$ -
31-Equipment	\$ -
Subtotal Non-personnel Changes	\$ -
TPDEV PROGRAM FY 2021 Request	\$ 84,747

Based on known requirements at this time, the OIG has no additional changes to make to the zero-based budget request above. The OIG reduces costs wherever possible and releases funds for reprogramming when our operational and mission funding requirements do not match our original spending plan.

Office of General Counsel

FY 2021 Zero-Based Budgeting Appendix to the Narrative of Schedule C

Legislative History

The Office of General Counsel (OGC) is established pursuant to Rule II.8(a) of the Rules of the House of Representatives for the 116th Congress. The office was first established by House Rule in 1993. See H. Res. 5, 103d Cong. (Jan. 5, 1993, p.49).

Mission Statement

OGC provides legal representation and advice to the House and its Members, officers, employees, and entities (e.g., committees), without regard to political affiliation, on matters related to their official duties.

FY 2021 Budget Request

\$1,815,000

Strategic Plan

The strategic plan of the office is to defend the prerogatives of the House and its Members by litigating cases effectively and providing sound legal advice and counsel. While it is impossible to provide an exhaustive list of the types of representation and advice that OGC can and does provide, the office addresses with some frequency the following types of matters:

- committee subpoenas
- judicial/administrative/grand jury subpoenas
- judicial proceedings
- privileges, including Speech or Debate Clause issues
- tort claims
- request for information (both formal and informal)
- release of constituent information and confidentiality
- FOIA and the Privacy Act issues
- formal legal opinions
- tax exemption letters
- separation of powers issues

Office Functional Components**Legal Representation and Advice****Zero-Based Budgeting Applied**

To execute zero based budgeting, we reviewed and analyzed our historical spending patterns, and evaluated our anticipated needs for FY 2021.

The non-personnel expenditures increase reflects additional costs for replacing computers, server and other technological needs.

The FY 2021 budget request also accounts for meritorious increases required to maintain salary levels sufficient to retain highly qualified attorneys and staff who handle the bulk of OGC's workload.

As noted in our FY 2020 budget request, there exists a high probability that OGC will continue to be required to undertake significant litigation in the upcoming fiscal year. Such litigation may include cases in which the House directs OGC to intervene or file amicus briefs in pending cases, as well as cases to enforce subpoenas issued by various House Committees.

OGC proposes to handle this litigation in several possible ways. First, to the extent practicable, matters will be litigated by OGC attorneys and law clerks. In some circumstances, cases might be handled by OGC attorneys working with private attorneys from law firms or public interest litigation groups. OGC reasonably expects that, where necessary, substantial legal services will continue to be provided to the House by private attorneys on a pro bono basis, meaning that the House will not be billed for these services. However, some matters may require OGC to enter into contracts for paid legal services with private attorneys. In addition, it is possible that OGC will find it necessary to hire at least one more full-time attorney to deal with the expected increased work load.

If it transpires that additional funds are needed for hiring another attorney or paying private counsel, OGC will request such funds as may be necessary at the appropriate time.

Office of the Parliamentarian

FY 2021 Zero-Based Budgeting Appendix to the Narrative of Schedule C

Legislative History

A Parliamentarian has been appointed by the Speaker in every Congress since 1927. In the 95th Congress the House formally established an Office of the Parliamentarian to be managed by a nonpartisan Parliamentarian appointed by the Speaker without regard to political affiliation and solely on the basis of fitness to perform the duties of the position. (H. Res. 502, Apr. 20, 1977, made permanent law by sec. 115 of P.L. 95-94; see 2 U.S.C. 287).

The compilation and preparation of the precedents of the House of Representatives were authorized in the 93rd Congress by the Committee Reform Amendments of 1974 (sec. 208, H. Res. 988, Oct. 8, 1974, made permanent law by P.L. 93-554, 2 U.S.C. 28a). The printing and distribution of the precedents were authorized by Public Law 94-551 (2 U.S.C. 28b-28e). See also 2 U.S.C. 28, 29.

Mission Statement

Parliamentary practice and procedure in the House of Representatives is grounded in the Constitution, in the standing rules adopted by the House, in Thomas Jefferson's Manual of Parliamentary Practice, and in provisions of law or concurrent resolution having the effect of rules of the House. On this foundation rests a body of precedent developed by decisions of the various Speakers and other presiding officers of the House and its Committees of the Whole on actual parliamentary questions as they have arisen over 230 years. The overarching role of the Parliamentarian is to strive for consistency in parliamentary analysis by attempting to apply pertinent precedent to each question confronted -- in recognition of the principle of stare decisis that fairness is best guaranteed by predictability, which, in turn, is best guaranteed by fidelity to precedent. The ongoing challenge of this role derives from the fact that determining the most pertinent line of precedent to be applied often depends on precise analysis of the factual circumstances at hand (e.g., under the germaneness rule, a thorough examination of the pending text and its relationship to the proffered amendment).

FY 2021 Budget Request

\$2,088,000

Office Functional Components

- During sittings of the House, the Parliamentarian sits to the right of the Chair and advises the presiding officer on procedural matters.
- Acting for the Speaker, the Parliamentarian refers bills, resolutions, Presidential messages, executive communications, State memorials, and citizen petitions to the committees having jurisdiction over their subject matter.

- The Parliamentarian advises committees on hearing and markup procedure and in the preparation of reports to the House.
- The Parliamentarian assists members and staff of the committees in understanding their powers, responsibilities, and limitations under the rules.
- The Parliamentarian assists the Leaderships in the procedural execution of a program of business, rendering technical advice as to methods to be used under the rules for the consideration of a given matter.
- The Parliamentarian assists in the daily preparation of the Journal, which, under the Constitution, is the official record of the proceedings of the House.
- To ensure a current digest of all decisions made in the House and in the Committee of the Whole during the preceding session, the Parliamentarian prepares the House Rules and Manual for biennial republication.
- The Parliamentarian compiles the most salient precedents for formal, scholarly publication. These most important precedents presently fill 29 large printed volumes comprising thousands of decisions over the 230 years of parliamentary practice in the House. To bridge the span between a digest of decisions and formally published precedents, the Parliamentarian also has published *House Practice*, a condensed compilation of procedures of current application. The Parliamentarian also prepares the brochure entitled *How Our Laws Are Made* for public distribution.

Zero-Based Budgeting Applied

- The Office of the Parliamentarian has noted an increased frequency of requests for assistance due to the recent change in party control of the House. The Office expects that activity level to continue through the next fiscal year as the new majority seeks to implement its agenda. As just one example, between January 3, 2019, and December 1, 2019, nearly 1,000 more measures were introduced through the hopper than during the comparable time period in the 115th Congress.
- The Office of the Parliamentarian endeavors to be available to Members and staff, leadership and otherwise, whenever the operations of the House demand it. As such, the Parliamentarian is exploring ways to use mobile technology to enable efficient operations within the office, as well as to ensure secure and reliable remote work capabilities.
- The Office of the Parliamentarian is looking to expand the use of digital technology in an attempt to modernize the way in which the precedents of the House are catalogued and memorialized. The Office of the Parliamentarian would also look to increased cooperation with GPO as means of improving the process of compiling and publishing the precedents of the House.
- The Office of the Parliamentarian must maintain high standards of professionalism in lower-profile areas of House procedure, such as timekeeping in debate and processing communications received from the Executive Branch. These tasks require upgraded technology.

Office of the Law Revision Counsel

FY 2021 Zero-Based Budgeting Appendix to the Narrative of Schedule C

Legislative History

In 1974, the Office of the Law Revision Counsel (OLRC) was "established in the House of Representatives" by section 205 of House Resolution No. 988, Ninety-third Congress, which was enacted into permanent law by Public Law 93-554 (2 U.S.C. 285 et seq.).

Mission Statement

The OLRC serves the House of Representatives, Congress as a whole, the legal community, and the general public by producing and maintaining the United States Code, which is the official codification of the general and permanent statutory law of the United States. The mission of the OLRC is to make the United States Code "the free Code of choice" for the Hill community and the general public by ensuring that the official Code is the most accurate and accessible version available, whose currency rivals or exceeds the versions produced by the private sector.

FY 2021 Budget Request

\$3,469,000

Strategic Plan

To carry out its mission, the OLRC makes the United States Code available online and in print. For the online version, the goal is to make the Code as current and user-friendly as technologically possible. For the print version, in accordance with 1 U.S.C. 202, a complete new edition is published every six (6) years with annual cumulative supplements printed in each of the five (5) intervening years. For the OLRC, there are four (4) principle drivers:

- **Accuracy** - This is a paramount concern. Every effort is made to ensure that the United States Code is as precise and error-free as humanly possible.
- **Timeliness** - The United States Code online is updated to today's date. The size (approximately 50,000 pages) and complexity of the Code necessitate a day-to-day commitment from every member of the staff to make this level of timeliness an ongoing reality.
- **Accessibility** - The Hill community and the general public need the United States Code to be readily accessible. For the online version, that means a quality website with downloadable data in multiple formats, including XML.

- Positive Law Codification - Ongoing title-by-title positive law codification, as required by 2 U.S.C. 285b, is essential to the improvement of the organizational structure of the United States Code as a whole, and to resolving inconsistencies and errors in existing law.

Office Functional Components

- The primary functions of the OLRC are to maintain an official version of the United States Code and to prepare legislation to enact individual titles of the Code into positive law. To carry out these functions, the OLRC is organized into two functional components: (1) Editorial maintenance of the Code; and (2) Positive law codification. The OLRC currently has 18 employees. There are 9 attorneys allocated for the editorial maintenance of the Code and 4 attorneys allocated for positive law codification. The remaining 5 employees provide editorial, technical, and clerical assistance to both functional components of the OLRC.
- Editorial maintenance of the Code -- This function involves two primary tasks: (1) determining where new laws enacted by Congress should be placed in the Code; and (2) updating the actual text of the Code, which includes not only integrating new statutory provisions into existing text, but also preparing extensive editorial material to enable users to find, track, and understand the updates.
- Positive Law Codification -- This function involves preparing legislation to enact individual titles of the United States Code into positive law. Positive law codification improves the organizational structure of the Code, creates a flexible framework to accommodate future legislation, and resolves inconsistencies and errors in existing law.

Zero-Based Budgeting Applied

- To execute zero-based budgeting, the OLRC has undertaken a detailed line-by-line review of expenses. The predominant concerns are the retention of staff and the completion of the Modernization Initiative relating to the OLRC. The OLRC needs to budget for salary increases and for the additional equipment necessary for the new drafting and editing tools and for our back-up presence at the Alternate Computing Facility in Virginia.
- The OLRC believes it has sufficient funds to complete the Modernization Initiative as initially envisioned. However, there are needed follow-on projects that must be undertaken in future fiscal years which will require additional funding.

Office of the Legislative Counsel

FY 2021 Zero-Based Budgeting Appendix to the Narrative of Schedule C

Legislative History

The Office of the Legislative Counsel (Office) was established as the Legislative Drafting Service under section 1303 of the Revenue Act of 1918. A formal statutory charter was established for the Office of the Legislative Counsel under title V of the Legislative Reorganization Act of 1970 (2 U.S.C. 281 et seq.).

Mission Statement

The mission of the Office is to provide nonpartisan and confidential legislative drafting services to the House of Representatives as stated in its charter (2 U.S.C. 281a): “The purpose of the Office shall be to advise and assist the House of Representatives, and its committees and Members, in the achievement of a clear, faithful, and coherent expression of legislative policies. The Office shall maintain impartiality as to issues of legislative policy to be determined by the House of Representatives, and shall not advocate the adoption or rejection of any legislation except when duly requested by the Speaker or a committee to comment on a proposal directly affecting the functions of the Office. The Office shall maintain the attorney-client relationship with respect to all communications between it and any Member or committee of the House.”

FY 2021 Budget Request

\$11,937,000

Strategic Plan

To carry out its mission, the Office strives to achieve accuracy, clarity, and transparency in the legislation that the Office drafts for the House, while meeting the deadlines imposed by the House for producing the legislation and doing so within a limited budget. These goals can best be met through a combination of retaining and recruiting a highly skilled professional staff and providing the staff with drafting tools that are appropriate for meeting the need for a high-quality work product in an ever-accelerating legislative environment. The Office believes that retention of our highly trained, skilled, and motivated staff is crucial to not only producing effective legislation but to providing the House with institutional knowledge and expertise, something that is especially valuable at a time of high turnover of Members and staff. In addition, the Office works with the Office of the Clerk, the Office of the Law Revision Counsel, and the Government Publishing Office to improve information technology to make its work more efficient and accurate. Moreover, these improvements also give Members and the public a better understanding of law and the legislative process by providing them with access to laws and other legislative documents.

Office Functional Components

The Office is an internal law office within the House of Representatives, with a focus on the legislative functions of the House. At the end of fiscal year 2020, the Office projects that it will have 59 attorneys, a net increase of 3 from the end of fiscal year 2019. These attorneys work in practice groups and teams to cover the myriad subject matters of Federal law and committee jurisdictional areas. They are assisted by support personnel who work in four branches: paralegal and clerical; Statute compilations, publications, and comparative prints; information technology; and front office and facility management.

Zero-Based Budgeting Applied

To execute zero-based budgeting, the Office has completed a detailed line-by-line review of expenses, carefully analyzing our budget and evaluating funding levels across each of our activities. The Office projects the following for fiscal year 2021:

- At the beginning of fiscal year 2020 the Office had 77 employees: 56 attorneys, 7 paralegals, 5 publications specialists, 4 front office personnel, 3 information technology personnel, a human resources specialist, and an office manager.
- At the beginning of fiscal year 2021 the Office expects to have 80 employees: 59 attorneys, 7 paralegals, 5 publications specialists, 4 front office personnel, 3 information technology personnel, a human resources specialist, and an office manager.
- During fiscal year 2021 the Office expects to add an additional 5 attorneys and 2 paralegals, bringing the total number of employees to 87.
- The addition of so many personnel requires significant resources of time and effort to provide adequate training. Experienced attorneys spend extensive time training new colleagues while continuing to meet their own drafting responsibilities. Even after a new attorney completes basic training in the work of the Office and is assigned to a subject matter area, senior attorneys must continue to mentor the new attorney so that the new attorney can successfully handle increased responsibilities and gain expertise in complex areas of law.
- These numbers (and related expenses) may slip because of retirements of retirement-eligible personnel, unexpected departures of others, and office space constraints.
- The Office is increasingly concerned with its ability to retain very senior employees (meaning those who are eligible for full retirement) and to replace them with personnel who are equally dedicated to public service, in part because of the difficulty of maintaining a compensation plan that is competitive with not only the private sector but with other Federal offices as well.
- The Office will continue to use information technology to improve the internal operations of the Office as well as those of the House by partnering with the Office of the Clerk, the Office of the Law Revision Counsel, and the Government Publishing Office to promote the flow of legislative data and to increase transparency through the use of software which permits the reader to see and understand the impact of amendatory language on bills and laws. This work includes--
 - replacing and enhancing the Office's internal and Housewide websites using Office 365 and Microsoft Power Apps;
 - participating in USLM schema conversions and the continued development, deployment, and improvement of comparison tools in compliance with the requirements of clause 12 of House Rule XXI
 - posting Office Statute Compilations in the GPO Collections;
 - participating with GPO with respect to the replacement printing process for Microcomp;
 - upgrading the authoring tool used to produce bills, resolutions, and amendments, and
 - improving collaboration with committee and Member clients.

Office of Interparliamentary Affairs

FY 2021 Zero-Based Budgeting Appendix to the Narrative of Schedule C

Legislative History

On September 30, 2003 the Office of Interparliamentary Affairs was "established in the House of Representatives" by section 103 of House Resolution No. 2657 *Legislative Branch Appropriations Act, 2004*, 108th Congress, which was enacted into permanent law by Public Law 108-83 (2 U.S.C. 5582).

Mission Statement

The mission of the Office of Interparliamentary Affairs is to provide direct support to the Speaker for Washington meetings with foreign dignitaries and coordinating official visits to the House of Representatives by parliamentarians, officers or employees of foreign legislative bodies as well as providing direct support for overseas travel to the Speaker, Interparliamentary and overseas travel services to Members of the House and support for established parliamentary exchanges.

FY 2021 Budget Request

\$934,000

Strategic Plan

To support the Speaker of the House and Members in coordinating and facilitating interparliamentary functions both in Washington and abroad.

Functional Components

- To provide direct support to the Speaker for Washington meetings with foreign dignitaries.
- To receive and respond to inquiries from foreign parliamentarians and legislative bodies regarding official visits to the House of Representatives.
- To coordinate official visits to the House by foreign dignitaries.
- To provide direct support to the Speaker for overseas travel.
- To coordinate with other House Officers in providing services for delegations of Members on official visits to foreign nations.
- To coordinate the activities and responsibilities of the House of Representatives in connection with participation in various interparliamentary exchanges and organizations.
- To enable the House to host meetings with senior government officials and dignitaries in order to discuss matters relevant to the United States relations with other nations.

Zero-Based Budgeting Applied

The Office of Interparliamentary Affairs is a demand driven office, i.e. it is difficult to predict with certainty how many interparliamentary functions will be requested by the Speaker or Members; however, based on past history, the FY'21 request should be sufficient to cover the needs of the House.

OIA-1

Office of Congressional Ethics

FY 2021 Zero-Based Budgeting Appendix to the Narrative of Schedule C

Legislative History

The Office of Congressional Ethics (OCE) was established by H.Res. 895 in the 110th Congress.

Mission Statement

The OCE is an independent, non-partisan entity charged with reviewing allegations of misconduct against Members, officers, and staff of the House and when appropriate, referring matters to the Committee on Ethics (COE).

FY 2021 Budget Request

\$1,711,000

Strategic Plan

The OCE consists of a Board of Directors and staff, including consultants, contractors, or other personnel retained by the Board. The Board reviews information related to allegations within the jurisdiction of the Board (allegations occurring on or after March 11, 2008).

Functional Components/Goals

- Determine Jurisdiction
- Prepare information for Board Consideration
- Solicit Testimony from Witnesses
- Conduct preliminary and second-phase reviews
- Board makes appropriate report to Committee on Ethics (COE)

Zero-Based Budgeting Applied

The Office of Congressional Ethics (OCE) has applied zero based budgeting based on our mission and a line by line review of expenses. However, because the OCE is a demand-driven office, i.e., it is difficult to predict with certainty how much travel and resources will be needed to conduct business.

Congress of the United States

JOINT ECONOMIC COMMITTEE
(CREATED PURSUANT TO SEC. 5(a) OF PUBLIC LAW 904, 78TH CONGRESS)

Washington, DC 20510-6602

January 27, 2020

The Honorable Tim Ryan
Chairman
Committee on Appropriations
Subcommittee on Legislative Branch
H-306, The United States Capitol
Washington, DC 20515

Dear Mr. Chairman:

As Chairman and Vice Chair of the Joint Economic Committee, we are pleased to submit to the Subcommittee on Legislative Branch the Committee's FY2021 budget request of \$4,203,000.

This budget request of \$4,203,000 was submitted to the Financial Clerk of the Senate in December 2019, at which time Representative Carolyn B. Maloney was Vice Chair of the Joint Economic Committee. Representative Donald S. Beyer, Jr., was confirmed as Vice Chair of the Committee on January 16, 2020. Vice Chair Beyer agrees with our budget request submission of \$4,203,000.

In January 2021, the beginning of the 117th Congress, the Chairmanship of the Committee returns to the House of Representatives. Prior to the new Congress, three months of our FY2021 appropriation will be under the Senate's Chairmanship and nine months will fall under the Chairman in the House of Representatives.

The Committee's budget request remains at \$4,203,000, the same level appropriated each year since FY2012. The Committee is not requesting the President's proposed cost of living adjustments and is not seeking an increase in personnel.

Should you have any questions, please contact Dr. Scott Winship, Executive Director of the Joint Economic Committee, (202) 228-6984.

Thank you for your consideration.

Sincerely,



Senator Mike Lee
Chairman
Joint Economic Committee



Representative Donald S. Beyer, Jr.
Vice Chair
Joint Economic Committee

Joint Economic Committee

	FY2019 Actuals	FY2020 Enacted	FY2021 Estimate
Appropriation or estimate	\$ 3,609,329.69	\$ 4,203,000	\$ 4,203,000
Personnel compensation:			
Payroll	\$ 3,279,705.49	\$ 4,003,000	\$ 4,003,000
Sub-total compensation	\$ 3,279,705.49	\$ 4,003,000	\$ 4,003,000
Nonpersonnel expenses:			
Metro Subsidy	\$ 22,497.55	\$ 25,000	\$ 25,000
Travel and Transportation of Persons	\$ 9,611.90	5,000	5,000
Communications, Utilities & Misc. Charges	\$ 35,867.79	36,000	36,000
Printing and Reproduction	\$ 593.75	3,000	3,000
Advisory & Assistance & Other Services	\$ 8,541.65	13,000	13,000
Supplies & Materials	\$ 221,301.53	108,000	108,000
Equipment/software	\$ 31,210.03	10,000	10,000
Sub-total nonpersonnel expenses	\$ 329,624.20	\$ 200,000	\$ 200,000
Total	\$ 3,609,329.69	\$ 4,203,000	\$ 4,203,000
116th Congress Joint Economic Committee Members			
Senator Mike Lee (R-UT), Chairman			
Representative Donald S. Beyer, Jr. (D-VA), Vice Chair			
United States Senate	United States House of Representatives		
Mike Lee, Utah, Chairman	Donald S. Beyer, Jr., Virginia, Vice Chair		
Tom Cotton, Arkansas	Carolyn B. Maloney, New York		
Rob Portman, Ohio	Denny Heck, Washington		
Bill Cassidy, M.D., Louisiana	David Trone, Maryland		
Ted Cruz, Texas	Joyce Beatty, Ohio		
Kelly Loeffler, Georgia	Lois Frankel, Florida		
Martin Heinrich, New Mexico	David Schweikert, Arizona		
Amy Klobuchar, Minnesota	Darin LaHood, Illinois		
Gary C. Peters, Michigan	Kenny Marchant, Texas		
Margaret Wood Hassan, New Hampshire	Jaime Herrera Beutler, Washington		

Schedule A
Fiscal Year 2021

Joint Economic Committee
Summary by Organization and By Object Class

Categories	FY2019 Actuals		FY2020 Enacted		FY2021 Estimate		Net Change 2020/2021	
	Staff	Dollars	Staff	Dollars	Staff	Dollars	Staff	Dollars
1. Breakdown by Organization								
Joint Economic Committee	48	\$ 3,609,330	48	\$ 4,203,000	48	\$ 4,203,000		\$ -
2. Breakdown by Object Class								
Personnel Compensation	48	\$ 3,279,705	48	\$ 4,003,000	48	\$ 4,003,000		\$ -
Communications		\$ 35,868		\$ 36,000		\$ 36,000		
Other Services (Printing, and Supplies and Materials)		\$ 293,757		\$ 164,000		\$ 164,000		
Total	48	\$ 3,609,330	48	\$ 4,203,000	48	\$ 4,203,000	-	\$ -

Schedule B
Fiscal Year 2021

Joint Economic Committee									
Analysis of Change to Budget Base by Organization and Object Class									
Categories	Mandatory Pay		Price Level Changes		Workload		Total Changes		
	Staff	Dollars	Staff	Dollars	Staff	Dollars	Staff	Dollars	
1. Breakdown by Organization									
Joint Economic Committee	48								
2. Breakdown by Object Class									
Annualization of COLA (FY20)									
Budget Year COLA Est. (FY21)									
Budget Year COLA Locality Est. (FY21)									
Total	48	\$ -					-	\$ -	

Schedule C
Fiscal Year 2021

Joint Economic Committee
Detailed Analysis of Change by Organization

	Calculation of Base	
	Staff	Amount
Appropriation, FY2020	48	\$ 4,203,000
	FY2021	Budget Request
	Staff	Amount
I Adjustments to Base		
A. Mandatory Pay		
1. Annualization of COLA (FY20)		
2. Budget Year COLA Est. (FY21)		
3. Budget Year COLA Locality Est. (FY21)		
B. Price Level Changes		
C. Program Type Changes		
II Net Increase	-	\$ -
III Total FY2021 Budget Request	48	\$ 4,203,000

Schedule D
Fiscal Year 2021

Joint Economic Committee
Summary of Committee Request
FY2021 Budget Request

	Calculation of Base	
	Staff	Amount
Appropriation, FY2020	48	\$ 4,203,000
	FY2021	
	Staff	
I Proposed Changes for FY2021		
A. Mandatory Pay		
1. Annualization of COLA (FY20)		
2. Budget Year COLA Est. (FY21)		
3. Budget Year COLA Locality Est. (FY21)		
B. Price Level Changes		
C. Program Type Changes		
II Net Increase	-	\$ -
III Total FY2021 Budget Request	48	\$ 4,203,000

United States Capitol Police



FY 2021 Congressional Budget Request

January 28, 2020

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I. Executive Summary

A. OVERVIEW

The United States Capitol Police (USCP) continues its efforts in ensuring the safety and security of the Capitol Complex, the legislative process, and the personnel it is sworn to protect – a mission that has been well executed for nearly 192 years. Just as the previous investments in intelligence and law enforcement helped to secure and sustain the safety and security of the Capitol Complex, continuous prioritization of operations enables us to meet the dynamic and ever-changing security challenges.

The USCP's mission requires that we provide a high level of security and safety to the Congress, while also ensuring that the American people have appropriate access to the processes that ensure our constitutional government. This mission presents complex challenges to the Department; requiring that we maintain a range of comprehensive functions and capabilities to provide modern policing, homeland security, dignitary protection, intelligence and physical security.

The USCP has been challenged over time to keep pace with a multitude of threats that emanate both from domestic and international sources and the Department works to deter those threats effectively before they impact the Capitol Complex. This includes, but is not limited to, the need to maintain our security infrastructure and maintaining essential training. As a result, the USCP has employed a results-oriented, data-driven approach that effectively meets current and future threat challenges by efficiently focusing resources.

The active shooter incident at the June 2017 Congressional baseball team practice in Alexandria, Virginia demonstrated that the threats against the Congress are very real. That incident, where an assassination attempt on Members of Congress with high caliber weapons, underscores the need for the USCP to be prepared for a swift response to an ever-changing and dynamic threat that can instantaneously change. Further, the threat from the Islamic State of Iraq and the Levant (ISIL) and their determination to incite violence specifically targeting law enforcement, military, and government agencies, continues to surpass previous threats of international terrorism due to the difficulty in discovering and mitigating the activities of lone-wolf operators inspired to carry out their plans. Today's threat environment dictates that we employ agile and flexible tactics to ensure the safety and security of the Legislative Branch against persistent dangers. Finally, the Department continues to focus on the increase in domestic threats, especially those towards Members and staff, much of which generate through the internet, social media and telephonic interactions. This rise in threats and directions of interests has resulted in the Department increasing the utilization of assets to focus in this area.

Countering these threats is similar to mitigating the threat of mass shootings, random acts of violence, and other difficult-to-detect threats. Addressing such potentially escalated risks through training and other means utilizing existing capabilities, the Department continues to execute its mission in the most cost effective manner particularly cognizant of the fiscal constraints facing the country. The fiscal year (FY) 2021 budget request reflects judicious stewardship of federal funding centered on this approach while maintaining the open nature of

the “People’s House.” Performing threat-based planning in order to align the operations with the existing and emerging priorities, the USCP has relied on our internally developed Force Development (FD) Business Process. The fundamental rules of this standardized approach are the concepts of consistent planning based on risks and threats, budget formulation and execution, and performance evaluation. This approach has allowed the Department to maintain operational effectiveness without undue spending increases while remaining an effective Federal law enforcement organization.

The FY 2021 USCP budget request is formulated with full appreciation for the fiscal constraints facing the Federal government, and includes only the necessary funding for meeting the Department’s core mission, particularly in a fiscal year where increases are needed for election year activities. Therefore, the USCP respectfully requests funding towards meeting mandatory salary requirements, overtime for critical training, and General Expenses that include critical training and lifecycle replacement for essential infrastructure items. The requested budgetary resources will fund up to 2,072 sworn and 442 civilians. We are also requesting funding to provide security for the 2021 Presidential Inauguration as well as No-Year funding for the Joint Audible Warning System (JAWS).

The request for the Salaries appropriation is \$417.197 Million which is an increase of \$38.135 Million over the Enacted levels. The main drivers of the cost increases are increases in benefit rates (FERS), overtime for core mission and Inauguration activities, cost-of-living adjustments, and within grade increases. The General Expenses request is \$99.544 Million. For Salaries and General Expenses together, the total budget request for the FY 2021 annual budget appropriation is \$516.741 Million, which is an increase of 11.28% over FY 2020 Enacted levels. In addition, we are requesting \$3.600 Million for the JAWS project in a No-Year appropriation.

Understanding the fiscal concerns related to the budget impacts and being mindful that the Congress has allocated significant resources to the Department in recent fiscal years to address specific enhanced security initiatives, the USCP continues to work closely with the Capitol Police Board and oversight Committees to review options for efficiencies where possible.

B. ZERO BASED BUDGET APPROACH

The Department continues to use its FD Business Process, a standardized management process which began with the budget request in 2007, in formulating the FY 2021 Budget Request. The FD Business Process implements consistent management and planning processes akin to zero-based budget development. It incorporates the principles of threat-based planning into our investment decisions and resource requests.

Using data and information gathered and assessed as part of the FD Business Process coupled with known and potentially continued fiscal restraints, the Department’s FY 2021 resource requirements were developed based on these essential needs and are requested through two appropriations: Salaries (which funds both sworn and civilian personnel) and General Expenses. Each of the functional components within both of these appropriations is closely inter-connected in support of the overall mission.

It should be noted that due to the Department’s evaluation of national fiscal challenges and reduced budgetary allocations, complete mitigation strategies for some identified risks were not

requested as a part of the Department's FY 2019 and FY 2020 budget justifications. This includes, but is not limited to, full funding for the Department's civilian staffing strength and extending life-cycling replacement of equipment as appropriate. As always, the Department will deploy resources to help mitigate identified and emerging risks as practicable.

The sworn component is generally organized into Bureaus most suited to carry out the functions in such a way as to match the expertise of staff with the requirements while retaining the flexibility to re-deploy resources as the requirements change. Functional components serve a variety of needs such as law enforcement, dignitary protection, threat analysis, vulnerabilities review, convention and inauguration support, etc. Staffing for these functional components is based on evolving security requirements resulting from threats and risks, and does change from year to year.

The Department also utilizes overtime to offset operational requirements that exceed available sworn staffing required to address mission needs. While the Department could reduce the amount of overtime needed by requesting additional staff, there are other cost factors, such as the dual-payment of overtime to existing officers to address mission requirements and salary to new officers as they are trained; additional general expenses costs to train, equip and outfit the additional officers; and the actual physical capacity of the Department's facilities and training capacity, that preclude us from completely eliminating the overtime that results from our fixed mission exceeding our on-board personnel. Along with our salary projection, the Department has utilized a "zero-based" approach in its projection of the overtime requirements since the FY 2009 budget submission. This includes the Department submitting separate budget line items to identify and apply costs to requirements that are outside its annual base operational requirements; such as conventions, inaugurations and new initiatives. Similar to sworn staffing allocations, overtime requirements may have to be adjusted throughout the year, based on continuous risk and threat assessments, unscheduled events, and attrition and hiring of backfill USCP Officers.

The Department also conducts continuous monitoring of its overtime execution against projections and adjusts the distribution of resources and scalable response levels to meet these changes. This constant analysis allows the Department to re-validate mission requirements, look for efficiencies and ensure assets are deployed effectively. Utilization of this process enables the Department to maintain a continuous level of security and protection of the Congress.

This budget request contains a request for \$50.246³ Million in overtime funding necessary to meet core mission requirements not covered by onboard sworn personnel availability, to provide critical sworn training and to meet unanticipated requirements. This includes \$1.635 Million for the overtime needed to take staff offline for critical training requirements necessary to provide refresher fundamental training for sworn personnel, and \$2.724 Million for the overtime necessary to cover the Presidential Inauguration in 2021.

The civilian functional component is notably comprised of mission support (information technology, human resources, financial management, facilities and asset management, policy, legal, etc.), but also includes certain operational activities that can be staffed by civilians (hazardous materials technicians, physical and technological security, intelligence analysis,

³ Overtime projections do not include benefits

emergency management, some command center operations, etc.). Vacancies in the civilian ranks are reviewed bi-weekly to prioritize the positions that need to be filled from any one of the operational or mission support functions that are vacant based on available salaries funding. Through this process, the Department continually monitors and justifies the needs of every civilian position as it becomes available. Additionally, the Department reallocates vacant civilian positions to meet new requirements rather than request authorization and funding for additional civilian positions from the Congress. Of particular challenge to the USCP is the ability to find highly qualified applicants who can meet the rigorous employment suitability standards of the Department.

The General Expenses request is also formulated using a zero-based approach. Each year, the bureaus and offices re-evaluate their budget request against fixed mission requirements and draw up requirements for the budget year starting from a zero-base evaluation of mission requirements, emerging threats and risks, and projecting for those requirements. These requirements go through multiple layers of scrutiny from within the Department, including a Training Review Board, an Investment Review Board (consisting of bureau commanders, office directors and other key high-level staff that focus on the needs of the Department at a “corporate” level), and the Executive Team (the Chief, two Assistant Chiefs and the Chief Administrative Officer) before finalization and presentation to the Capitol Police Board in their oversight role.

In FY 2021, the Department is respectfully requesting budgetary authorization for a sworn staffing level of up to 2,072 and a civilian staffing level of up to 442. For the FY 2021 Budget request, the Department has determined that the “total salary” approach will provide the greatest risk mitigation from identified inherent budget formulation risks. Under a “total salary” approach, the Department is requesting a full year of funding for each position without offset for potential attrition and resulting backfill unless otherwise noted in this submission. Based on this approach, the Department actually requests less than if it factored in accessions and attrition in FY 2021. Further, funding for sworn official promotions, as well as sworn and civilian backfill, and workers’ compensation would not be included as supplemental request, as they are already within the requested level.

C. BUDGET REQUEST

This request includes requirements that are the products of the ever-evolving safety and security concerns for the Capitol, Members, staff and visitors.

Salaries: The Salaries request includes details of the personnel salaries, benefits, and overtime requirements which include overtime to take sworn personnel offline to achieve greater proficiency via training opportunities. In addition, we are requesting \$2.932 Million² towards overtime for the 2021 Presidential Inauguration which will not recur in the following fiscal years, i.e., until the next Presidential Inauguration fiscal year. In FY 2021, the Department is requesting funding for a sworn staffing level up to 2,072 and a civilian staffing level up to 442.

General Expenses: The General Expenses request includes all non-personnel expenses - communications and other equipment, security equipment and installation, uniforms, weapons,

² Overtime and related benefits

ammunition, motor vehicles, forensic services, training, supplies, materials, medical services, stenographic services, personal and professional services, the employee assistance program, the awards program, communication services, travel, relocation of instructor and liaison personnel for the Federal Law Enforcement Training Center and official representation and reception expenses. This submission provides details on the budget request for each of the Programs and continues critical lifecycle replacement and training activities. Additional details within the Programs are provided in the Budget Details section, FY 2021 Differences from FY 2020 Enacted levels on page 15.

No-Year Funding: We are requesting \$3.600 Million in No-Year funding to support the Joint Audible Warning System (JAWS). The JAWS is replacing the legacy annunciator system which has become obsolete with limited support and hardware available to maintain. Additional details are provided in the Budget Details section, on page 12.

Overall Budget Request

The budget request for FY 2021 includes \$516.741 Million in annual funds and up to 2,514 (2,072 sworn and 442 civilian) budgetary funded positions. It reflects an increase of \$52.400 Million from the enacted level and includes:

- \$417.197 Million for Salaries and Benefits for up to 2,514 positions
 - The Department's FY 2021 Salaries request does not include potential increases resulting from P.L. 116-93, Section 211. Once the Office of Personnel Management establishes the United States Capitol Police's "normal-cost percentage" level, the Department will provide the Committees with revised FY 2021 Salaries request data, as necessary.
- \$99.544 Million for General Expenses

In addition, we are requesting \$3.600 Million in No-Year funding for the Joint Audible Warning System (JAWS).

FY 2021 Budget Request Summary Chart

	FY 2019	FY 2020	FY 2021	Increase over FY 2020	
	*Actual	**Enacted	**Request		
Funding Levels (Annual)	\$ in Millions				%
Salaries and Benefits	363.589	379.062	417.197	38.135	10.06%
General Expenses	90.772	85.279	99.544	14.265	16.73%
Total (Annual)	\$454.361	\$464.341	\$516.741	\$52.400	11.28%
Funding Levels (No-Year)					
JAWS Project			3.600	3.600	
Grand Total	\$454.361	\$464.341	\$520.341	\$56.000	12.06%
Funded FTE***	#'s				%
Sworn	1,917	2,072	2,072	0	0.00%
Civilian	378	442	442	0	0.00%
Total	2,295	2,514	2,514	0	-
Authorized Staffing	#'s				%
Sworn	2,015	2,072	2,072	0	0.00%
Civilian	512	512	512	0	0.00%
Total	2,527	2,584	2,584	0	0.00%
Overtime *****	FY 2019 Actual Hours (#'s)	FY 2019 Actual Paid (\$ in Millions)	FY 2020 Enacted (\$ in Millions)	FY 2021 Request Hours (#'s)	FY 2021 Request (\$ in Millions)
Base mission requirements, plus 24,000 hours training (16 hours for 1,500 officers), and LOC Non-reimbursable events. FY2021 includes overtime for the inauguration (40,000 hours).	673,542	\$42.709	\$47.048	743,786	\$50.246

*FY 2019 Actuals as of 09/30/19. Includes unobligated balances to be used for Workers' Compensation.

** Subject to the execution of funds in FY 2020 and FY 2021, the Department will not exceed these FTE levels.

***Funded FTE for the Department represents the count of positions/people as a whole. Actuals represent the count as of 9/30/19 and FY 2020 and FY 2021 counts represent the number of positions funded or requested to be funded, respectively.

****Includes \$47.522M standard overtime and \$2.724M in inauguration overtime. Projections do not include benefits.

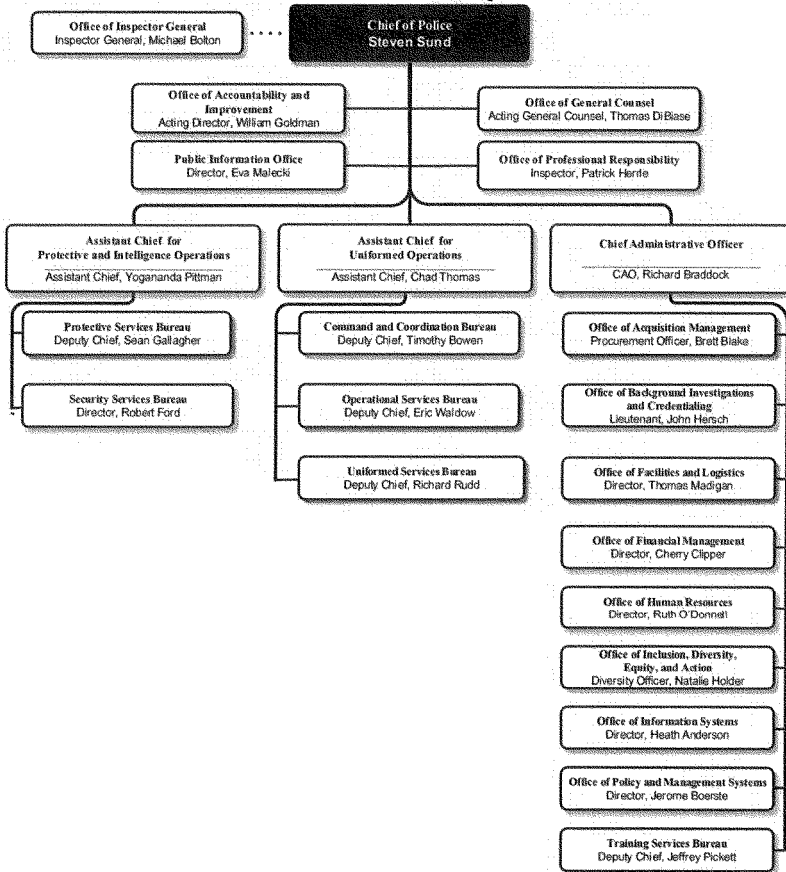
II. Organization Charts

This section provides two organizational views of the USCP:

- A. Major Organization Levels Chart
- B. Major Functional Organization Chart

A. CAPITOL POLICE MAJOR ORGANIZATION LEVELS

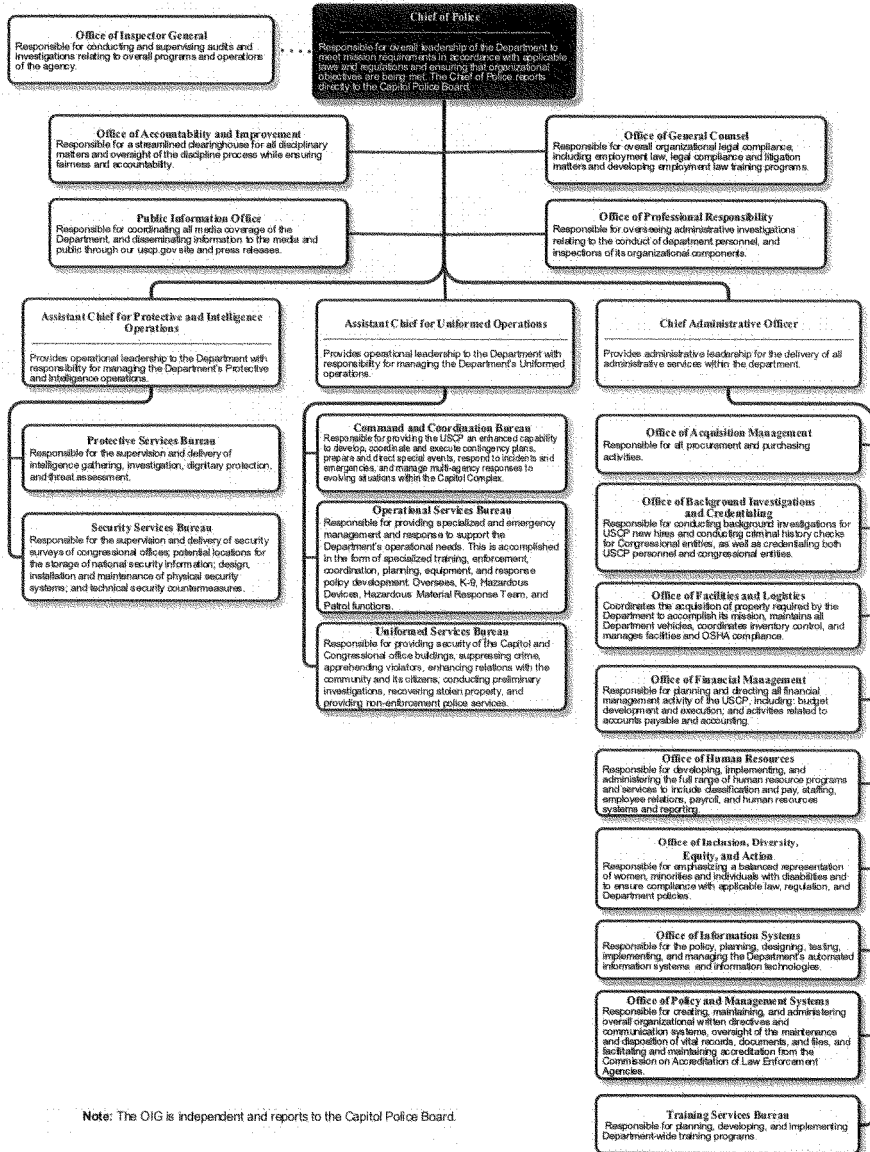
This chart illustrates the three major organizational levels: the Chief of Police, and the Operational and Administrative lines of operation. Each organizational element includes the name of the bureau commander or office director and the position title.



Note: The OIG is independent and reports to the Capitol Police Board.

B. CAPITOL POLICE FUNCTIONAL ORGANIZATION CHART

This Functional Organization Chart describes the overall responsibilities of each major organizational unit.

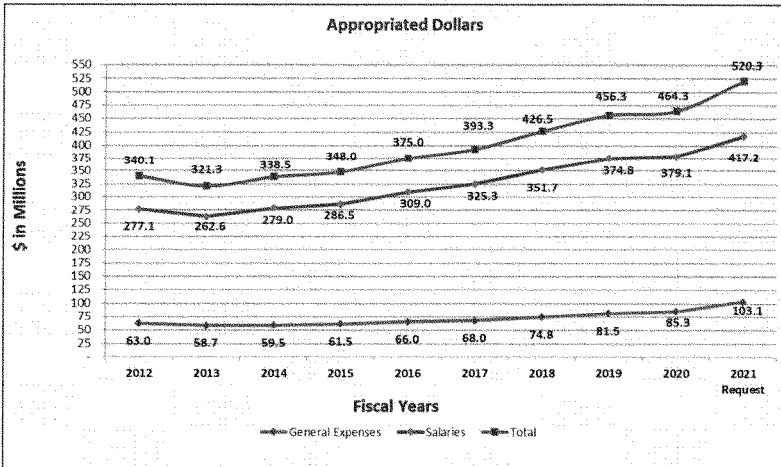


III. Budget Details

The USCP receives two annual appropriations: Salaries and General Expenses, for personnel and non-personnel expenses, respectively. The changes requested for the operations in FY 2021 are discussed in the relevant sections below.

In the past decade, the USCP mission has changed due to the fact that the threat to which we have been expected to respond has changed in its nature, method, and intensity, thereby requiring a different approach in addressing threats. Additionally, the USCP in close coordination with the Capitol Police Board has undertaken several significant security initiatives to address emerging and long-standing matters facing the Capitol Complex. In response to this, USCP continues to evolve in our operations, intelligence and investigative capabilities to ensure proper coordination with our counterterrorism and law enforcement partners, ensure adequate staffing directly proportional to the increasing demands, and introduce technology to mitigate threats and risks. Undertaking the upgrades to x-ray machines, barriers, radios, video monitoring, law enforcement fleet, Command Center, information technology equipment and enhanced screening portals, to name a few, the USCP has, with the support of Congress and the Capitol Police Board, improved its operations to meet these new challenges. In addition, threat levels necessitated us to deploy additional officers to new posts and mitigate threats and risks facing the Capitol Complex. Thus, the increased demands to ensure an acceptable level of security necessitated a growth rate consistent and proportionate with the mission requirements and threats. While the Department has grown to meet emerging requirements, this growth has not allowed to date for the Department to address core mission requirements with on-board personnel; and, therefore, has not allowed for the reduction in the utilization of overtime to meet the mission.

The ten year chart below demonstrates the USCP appropriation for both Salaries and General Expenses including the FY 2021 levels based on this request.



Notes: \$3.6M of the total FY 2021 General Expenses request is for No-Year funding
Totals may contain rounding variances

Object Class Comparison

(\$ in Thousands)						
OC	Object Class	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request	Change	% Change
11	Personnel Compensation	264,547	283,066	305,537	22,471	7.94%
12	Benefits	99,020	95,846	111,509	15,663	16.34%
13	Benefits to former personnel	22	150	150	-	-
21	Travel & Transportation of Persons	15,222	19,624	20,452	828	4.22%
22	Travel & Transportation of Things	36	14	40	26	185.71%
23	Rent, Communications, and Utilities	3,245	3,432	3,086	(346)	(10.08%)
24	Printing & Reproduction	-	9	23	14	155.56%
25	Other Contractual Services	44,081	42,094	50,068	7,974	18.94%
26	Supplies & Materials	6,322	5,576	5,770	194	3.48%
31	Equipment	21,835	14,417	19,992	5,575	38.67%
42	Insurance Claims and Indemnities	31	113	113	-	-
Annual Total		\$454,361	\$464,341	\$516,741	\$52,400	11.28%
(No Year) JAWS Alert System				3,600	3,600	
Grand Total		\$454,361	\$464,341	\$520,341	\$56,000	12.06%

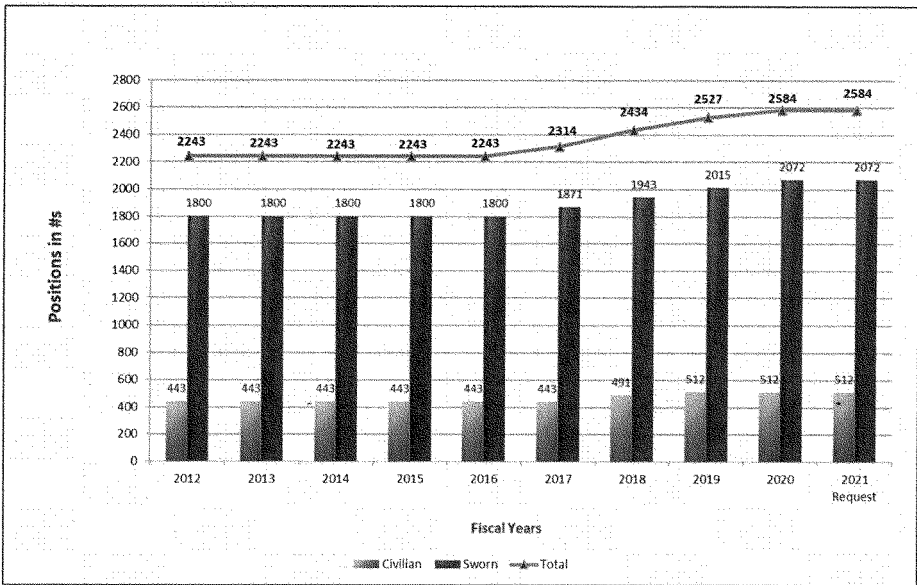
Note: Totals may contain rounding variances

A. SALARIES

The USCP is requesting \$417.197 Million for Salaries to support up to 2,072 sworn and 442 civilian positions. This section provides details of the cost of personnel salaries, benefits, and overtime requirements, to include the cost of overtime necessary for providing training for the Department's staff in FY 2021. It also includes, but not limited to, promotions, within-grade increases, health benefits and retirement costs, all differentials, lump sum leave payments, overtime, hazardous duty pay, holiday pay, career ladder promotions, unemployment insurance, limited liability insurance, workers compensation, and Metro Transit Subsidy.

The Analysis of Change Explanation in the Budget Schedules Section, provides a detailed analysis of the Salaries change of \$38.135 Million (see page 23). An analysis of Positions by Rank and Grade is provided on page 24, in addition to the organizational levels charts on pages 7 and 8. The following chart demonstrates the authorized personnel strength for sworn and civilian categories for ten years.

Authorized Personnel Strength



Overtime (OT)

This budget submission contains a request for \$50.246 Million based on 743,786 hours in overtime funding necessary to meet core mission requirements not covered by onboard sworn personnel availability, to meet unanticipated requirements, to provide backfill to allow for critical training and support security requirements, and to cover the 2021 Presidential Inauguration.

USCP Projected Overtime FY 2021

Average OT rates: (Does not include benefits) :

CY 2020 = \$65.85, CY 2021 = \$68.10 USCP calculates its OT requirements, based on total hours required to support its requirements minus available personnel hours.

FY 2021 – Projection	Hours (#'s)	(\$ in millions)
Base ¹	632,286	\$42.680
Unscheduled ²	40,000	\$2.701
Training ³	24,000	\$1.635
Additional Operational Requirements		
LOC Non-Reimbursable Events ⁴	7,500	\$0.506
2021 Presidential Inauguration	40,000	\$2.724
Grand Total of Operational Requirements	743,786	\$50.246

¹Base Hours include: Core Mission, K-9 premium, Scheduled Special Events, DPD In/DPD Out of Session, Extended Sessions, and Promotion Backfill.

²Based on recent trends, USCP projects the use of 10,000 hours per quarter to cover unscheduled protests, demonstrations with civil disobedience, and unscheduled Congressional events such as special Joint Sessions, Gold Medal Ceremonies, and State/Congressional Funerals.

³USCP has added additional hours to support training requirements that cannot be accomplished through online training, roll call or in-service training and requires sworn officers be backfilled to accomplish training such as Active Shooter and Use of Force. (Provides average 16 hours for 1,500 officers)

⁴Non-reimbursable events – Request represents an estimate for LOC events scheduled throughout the year that require OT to support. These events are not included in the LOC core mission requirements and are therefore not reimbursable. USCP tracks these events separately through the Time and Attendance System.

B. GENERAL EXPENSES

The USCP is requesting \$99.544 Million in annual appropriation for General Expenses to support the responsibilities for law enforcement, Capitol Complex physical and technological security, dignitary protection, intelligence analysis, event management, hazardous material/devices, information technology, and other specialized responses, as well as logistical and administrative support.

This section details expenses such as security equipment, uniforms, weapons, motor vehicles, communications and other equipment, supplies, materials, training, medical services, forensic services, professional services, the employee assistance program, the awards program, postage, communication services, travel and the relocation of instructor and liaison personnel for the Federal Law Enforcement Training Center. Of particular note, our request includes the General Expenses funds needed for contractor, equipment and travel costs for the critical training needed for sworn personnel. The Analysis of Change Explanation in the Budget Schedules Section, provides a detailed analysis of the General Expenses change of \$14.265 Million (see page 23).

C. NO-YEAR FUNDS JAWS PROJECT

Within General Expenses, \$3.600 Million in No-Year funding is requested to support the implementation of the Joint Audible Warning System (JAWS). The JAWS is replacing the legacy annunciator system which was installed shortly after the 9/11 attacks and the anthrax attacks on the Capitol Complex. The current system has become obsolete with limited support and hardware available to maintain. The Senate Sergeant at Arms has led a joint effort with the House Sergeant at Arms, the USCP, and the Architect of the Capitol to develop requirements for a replacement warning system. The new system will provide an encrypted, remotely manageable audible warning system with coverage in required areas of the Capitol Complex. The system will provide transmitter and activation sites, with additional backup systems. This funding will cover the USCP share (25-percent) of the total JAWS acquisition cost and the initial purchase of 110 receiver end units (radios). These costs are further broken down in the chart below.

FY 2021 JAWS Project Budget Request
No-Year funding

Procurement	Cost (\$ in Millions)	Notes
JAWS hardware, software (infrastructure) and implementation services and 110 USCP receiver end units.	2.500	
Contractor resources (radio, network/server, security)	1.100	Includes USCP contractor costs to manage Motorola infrastructure, programming, testing and repair of 4000+ receiver end units, network engineering/server support and administration to support design, build and O&M of the core system and backhaul infrastructure, Accreditation & Authorization and continuous security monitoring of the JAWS.
Total	\$3.600	

D. ADDITIONAL REQUIREMENTS

We are requesting \$2.932¹ Million towards overtime and \$0.577 Million towards General Expenses for 2021 Presidential Inauguration costs. These expenses will not recur in the following fiscal years, i.e., until the next Presidential Inauguration fiscal year.

¹ Includes benefits

E. FY 2021 GENERAL EXPENSES REQUEST - DIFFERENCES FROM FY 2020 LEVELS

The chart in the following pages depicts the budget according to identified programs (highlighted in gray) and sub-programs (above programs) as well as the change from FY 2020.

Programs & Sub-programs	Description	Major Program Changes FY 20 to FY 21	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change	% Change
Chief Administrative Officer							
CAO Administration	Provides funding for CAO Administrative costs for travel, training, supplies, printing and binding and office equipment.	An increase of \$2,200 for training and related travel. Decrease of (\$1,000) in office supplies.	\$6,302	\$11,521	\$12,728	\$1,207	10.48%
Chief Administrative Officer Total			\$6,302	\$11,521	\$12,728	\$1,207	10.48%
Chief of Police							
COP Administration	Provides funding for the Chief of Police (COP) and his immediate staff for official temporary duty travel, training, and to obtain operational supplies. Also provides funding for the Office of Accountability and Improvement (OAI).	Increase of \$4,900 for training to enhance work capabilities and ensure best business practices. Increase of \$1,300 in operational supplies for the COP Office, PIO Office, and the OAI.	\$22,062	\$30,598	\$36,839	\$6,241	20.40%
Chief of Police Total			\$22,062	\$30,598	\$36,839	\$6,241	20.40%
Command and Coordination Bureau							
CCB Command Division	Provides funding for the Command Center Operations, Reports Processing, Court Liaison, Command Vehicle Operations, and Communications Center Operations.	A net increase of \$5,000 in training and related travel. Increase of \$8,500 for equipment such as dual band mobile radios for interoperability capabilities with other agencies. A decrease of (\$2,200) in supplies and (\$11,600) in contractual services for cancelled warrants and transfer of the VOW contract.	\$32,457	\$67,100	\$65,800	(\$1,300)	(1.94%)
CCB Coordination Division	Provides funding for administrative costs such as supplies, training and travel. This office includes the Emergency Management Division and the Special Events Section.	An increase of \$14,139 in training and related travel. A decrease of (\$800) in contractual services.	\$6,323	\$9,801	\$23,140	\$13,339	136.10%
Command and Coordination Bureau Total			\$38,780	\$76,901	\$88,940	\$12,039	15.66%
Office of Acquisition Management							
OAM Administration	Provides funding for the Office of Acquisition Management to develop all procurement and purchasing activities for the Department.	An increase of \$21,148 in training and related travel. An increase of \$37,306 in contractual services for pre and post award administration and property management.	\$268,869	\$317,523	\$376,067	\$58,544	18.44%
Office of Acquisition Management Total			\$268,869	\$317,523	\$376,067	\$58,544	18.44%
Office of Background Investigations and Credentialing							
OBIC Administration	Provides funding for background investigations, polygraph testing, credit checks, medical services and psychological screening.	Increases of \$631,000 for contract support services (includes investigator support, polygraphs, psychological exams, and credit checks), \$28,000 in training and related travel, \$18,000 for software rental and subscription services, \$59,000 for office supplies and operational supplies for badging & fingerprinting. Increase of \$5,000 in advertising services. A decrease of (\$63,000) in local travel for background investigators.	\$2,873,993	\$2,731,540	\$3,410,034	\$678,494	24.84%
Office of Background Investigations and Credentialing Total			\$2,873,993	\$2,731,540	\$3,410,034	\$678,494	24.84%
Office of Facilities & Logistics							
OFL - Administration	Provides funding for administrative costs such as supplies, training and travel for the immediate office.	An increase of \$3,500 in training and training related travel, and an increase of \$100,000 in contractor support services.	\$95,973	\$9,500	\$113,000	\$103,500	1,089.47%
OFL - FMD Administration	Facilities Management Division provides administration of space and facility requirements of the Department. Administrative costs for this Division include official travel, transportation of things, training, subscriptions, safety equipment and supplies. Provides equipment supplies storage cabinets, high density filing system, lockers, bulletin/white marker boards that are generally located in common areas such as lobbies and hallways, break room furnishings, and other associated office furniture, furnishings and equipment for the immediate needs of the Department and unique furniture, furnishings and equipment specific to law enforcement.	An increase of \$35,000 in transportation of things; an increase of \$221,600 in non-capitalized equipment for the replacement of dispatch chairs to more ergonomic seating for Communications and the Command Center; an increase of \$6,200 in training, supplies and publications; a net increase of \$397,600 in contractor support services (for a Facilities Management Specialist and a USCP Parking Administrator) and government support services.	\$1,349,729	\$370,805	\$1,231,200	\$660,395	115.70%
OFL - OSHE Safety, Health and Environment	The Occupational Safety, Health, and Environment Division (OSHE) ensures that unique workplace challenges common in the law enforcement industry are effectively managed, as well as addressing the challenges unique to working in historic buildings.	An increase of \$80,000 in contractor support services; an increase of \$11,100 in training; a net increase of \$1,500 in software subscription and publications.	\$941,760	\$752,735	\$845,370	\$92,635	12.31%
OFL - PAMD Administration	The Property Asset Management Division provides critical logistical support through the issuance of uniforms and equipment to officers and provides central receiving and inventory management service to the Department. Provides funding for administrative costs such as supplies, training and travel for the Property Asset and Management Division.	No major program change.	\$18,819	\$20,000	\$20,000	\$0	

Programs & Sub-programs	Description	Major Program Changes FY 20 to FY 21	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change	% Change
OFL - PAMD Logistics Support	Provides funding for new uniforms and equipment for recruits, the Containment Emergency Response Team (CERT), the Canine unit, as well as other specialty units. The funding also supports uniform and equipment replacement for existing officers, dry cleaning, uniform alterations, and metal and ribbon purchasing.	An increase of \$566,500 in contractor support services, which includes two additional contractors and a new contract that would provide personnel with a higher security clearance to manage the Department's weapons and ammunition, an increase of \$22,700 in cleaning and alterations, office supplies and provisions; an increase of \$362,200 in ammunition, weapons and replacement parts; an increase of \$46,200 in uniforms and a decrease of (\$35,100) in non-capitalized equipment.	\$6,429,132	\$5,268,183	\$6,230,659	\$962,476	18.27%
OFL - VMD Administration	The Vehicle Management Division (VMD) provides critical support and maintenance for the entire USCP fleet of operational and specialty vehicles as well as bicycles and motorcycles. Supports training for mechanics and other staff to keep the USCP fleet at a high level of readiness.	An increase of \$3,950 in training.	\$48,469	\$84,100	\$88,050	\$3,950	4.70%
OEL - VMD Fleet Management	Provides funding for preventative maintenance, repairs and the procurement of vehicles, specialty vehicles, motorcycles, and equipment (mountain bikes, trailers, light towers, message centers). Supports the maintenance activities of the VMD.	An increase of \$499,500 in vehicle rental; a decrease of (\$187,000) in non-capitalized equipment; and, a net increase of \$270,000 in capitalized and non-capitalized vehicle.	\$4,934,873	\$4,563,400	\$5,145,900	\$582,500	12.76%
Office of Facilities & Logistics Total			\$13,810,474	\$11,265,723	\$13,574,159	\$2,308,436	17.45%
Office of Financial Management							
OFM Administration	The Office of Financial Management is responsible for the overall management, planning and directing of all financial activity of the Department including budget development and execution, and activities related to the accounts payable and accounting. Provides funds for travel, training, supplies, subscriptions and miscellaneous office equipment.	A net increase of \$1,600 for training and training related travel, an increase of \$2,400 in office supplies, an increase of \$1,000 in subscriptions and publications.	\$16,949	\$28,900	\$33,950	\$5,050	17.47%
OFM Agency Services	Through the Agency-wide Services account, the Office of Financial Management administers the fleet card program, management of copiers, commercial faxes and multifunctional machines (copy/scan/print/fax), postage and fees, tort claims, and other agency-wide services.	An increase of \$130,100 in contractor support services for copier refreshment and maintenance; an increase of \$5,000 in government support services; an increase of \$13,300 for external training; an increase of \$12,000 in postage and fees; a net increase of \$247,300 Inauguration funding (rental equipment, government support services, supplies provisions and non-capitalized equipment).	\$1,155,605	\$1,097,358	\$1,505,119	\$407,761	37.16%
OFM Financial Management & Accountability	Includes funding requests for contractual support, which includes outsourcing contract support and the cross-servicing Agreement for the Financial Management System.	A net increase of \$342,000 in contractual support services (FinMart, auditing and financial services); an increase of \$150,000 in government support services for Momentum hosting and Library of Congress Interagency agreement.	\$891,873	\$1,080,020	\$1,572,085	\$492,065	45.56%
Office of Financial Management Total			\$2,064,427	\$2,206,278	\$2,411,154	\$206,876	9.40%
Office of General Counsel							
OGC Administration	The Office of the General Counsel (OGC) is directly responsible to the Chief of Police and the Capitol Police Board for performing a wide range of legal duties and for overall organizational legal compliance, including advising operational and administrative elements in all legal matters pertaining to the administration and operation of the Department.	Increases of \$2,600 for training and related travel, \$1,700 for software subscriptions and publications, \$22,000 in contract support services, and \$500 for printing/binding.	\$240,162	\$269,898	\$296,667	\$26,769	9.92%
Office of General Counsel Total			\$240,162	\$269,898	\$296,667	\$26,769	9.92%
Office of Human Resources							
OHR HCSD Administration	The Human Capital Strategy, Staffing, and Employment Division (HCSD) provides human resource and payroll services to support the human capital activities of the Department. Provides funding for recruiting, advertising, travel, printing, binding, membership fees, operational supplies, and publications. Additionally, includes funding for employee benefit services such as the awards program.	Increases of \$72,000 in contractor support services, \$21,000 for training and related travel, \$110,000 in health services, and \$4,000 in general office supplies. Decreases of (\$4,000) for temporary duty travel, (\$6,800) in software subscriptions, (\$25,000) in government support services, and (\$1,500) in subscriptions and publications.	\$3,167,206	\$3,169,914	\$3,338,903	\$168,989	5.33%
OHR HRIS Administration	The Human Resources Information Systems Division provides payroll services and data reporting for the Department. Provides funding for the full range of HRIS activities, which includes outsourcing contract support for the time and attendance system and NFC.	Increases of \$228,000 for contract support services, \$1,000 for software subscriptions, and \$10,000 for training. A decrease of (\$22,000) in government support services.	\$627,800	\$627,800	\$844,889	\$217,089	34.58%
Office of Human Resources Total			\$3,795,006	\$3,797,714	\$4,183,792	\$388,786	10.25%
Office of Inclusion, Diversity, Equity and Action							
IDEA Administration	The Office of Inclusion, Diversity, Equity and Action is dedicated to ensuring that the Department has systems in place which promote effective management, accountability, and self-analysis to support program success and compliance with applicable law, regulation, and policy. Provides funding for specific goals and objectives regarding diversity in hiring and advancement.	Increases of \$41,000 for Diversity and Inclusion related training, \$119,000 for contract support services, \$14,000 for printing and subscription services, and \$5,000 for general office supplies.	\$93,455	\$107,084	\$285,545	\$178,461	166.66%

Programs & Sub-programs	Description	Major Program Changes FY 20 to FY 21	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change	% Change
Office of Inclusion, Diversity, Equity and Action Total			\$96,455	\$107,004	\$25,549	\$178,461	166.66%
Office of Information Systems							
OIS Administration	Provides for travel, operational supplies, subscriptions, training and travel for the information technology (IT) operations of the Department. Training and travel are primarily for IT specialists, specifically in cyber security, program management, web content, database administration, records and document management, internal controls, server systems administration and network engineering.	A decrease of (\$62,400) in temporary duty travel, training and related travel; a decrease of (\$4,000) in non-capitalized equipment; an increase of \$62,700 in contractor support services for a communications specialist and consulting support for the OIS leadership team.	\$645,653	\$725,043	\$721,794	(\$3,249)	(0.45%)
OIS Enterprise Applications and Management	Focuses on software support and development as well as full lifecycle enterprise application management. It provides support to enterprise business applications and to law enforcement applications. It manages web applications including PoliceNet (intranet website) and the USCP Internet website. It develops IT policies, provides operational and managerial analysis and support, implements IT programs, capital planning and investment control.	A net increase of \$480,500 in contractor support services; an increase of \$769,600 in software and technical support services (includes applications such as Babol Street, OpenText, Cognos, FinMart, WorkBrain, Maximo, FireDaemon and Survey Monkey); a decrease of (\$40,700) for non-capitalized equipment; an increase of \$2,100 in software subscription and government support services.	\$3,299,114	\$2,085,100	\$3,293,662	\$1,208,562	\$7.96%
OIS Information Security	Responsible for IT security, privacy program and information assurance for the Department. It conducts Department-wide training for security awareness, protection of information and rules of behavior.	An increase of \$265,000 in contractor support services; a decrease of (\$143,100) in software and technical support services; also includes maintenance agreements for applications used for security awareness training, spam/virus firewall, data loss prevention, and data mining; an increase of \$48,000 in government support services; a net increase of \$71,100 in non-capitalized software and equipment.	\$1,694,957	\$1,776,500	\$2,017,575	\$241,075	13.57%
OIS Project Management and Governance	Responsible for project planning and coordination services to ensure IT efforts meet requirement, scope, cost, and time demands. Also provides audit tracking, enterprise architecture, Service Catalog, and Software Asset Management communications.	An increase of \$66,800 in contractor support services (executive/administrative and helpdesk support); an increase of \$393,600 in software and technical services/maintenance agreements and supplies.	\$1,552,617	\$1,880,410	\$2,340,735	\$460,325	24.43%
OIS Radio Services	Responsible for the operation and maintenance of USCP radio communication systems, including response to emergent situations and technical support of Congressional Delegations (CODELA) and National Special Security Events (NSSEs). Provides innovative solutions and adopts new technologies as an outcome of stakeholder requirements. Conducts radio interoperability planning with USCP partners and performs lifecycle management of infrastructure and end user devices.	A decrease of (\$549,200) in contractor support services and an increase of \$60,000 in government support services; an increase of \$36,000 in local telecommunications services; an increase of \$724,900 in software and technical services/maintenance agreements; an increase of \$302,000 in non-capitalized equipment; and a decrease of (\$75,000) in temporary duty travel and telecommunication equipment rental.	\$5,224,548	\$4,053,200	\$4,591,907	\$498,707	12.30%
OIS Systems Operations	Provides computer hardware support and front line customer service. Its functions include: E-mail administration, PC & laptop support and services, IT service desk and special events support.	A net decrease of (\$182,800) in contractor support services; an increase of \$121,700 in software and technical support services; a decrease of (\$489,700) in non-capitalized software and equipment.	\$4,710,546	\$4,193,612	\$3,721,969	(\$471,643)	(11.25%)
OIS Voice and Data Services	Provides services for all wireless devices such as air cards, cell phones and tablets. The Operational and Engineering support for the USCP network infrastructure to include routers, switches, firewalls, fiber optic backbone, Ethernet LAN cabling and all leased line telecommunications circuits. Responsible for all USCP Datacenter Operations, to include servers, storage, and databases. Also, responsible for all secure communications.	An increase of \$73,900 in local telecommunications; an increase of \$7,500 in temporary duty travel; an increase of \$130,500 in contractor support services (wireless and helpdesk technicians and technicians for on-site vehicle support and the fiber optic and copper networks); a decrease of (\$665,200) in capitalized and non-capitalized equipment (COMSEC program, TS/SCI virtual enterprise system, and life-cycle replacement of audio/visual equipment); an increase of \$153,800 in software and technical support services.	\$9,520,780	\$8,237,574	\$7,917,881	(\$299,693)	(3.64%)
Office of Information Systems Total			\$76,628,213	\$71,951,439	\$74,586,523	\$1,634,084	7.12%
Office of Inspector General							
OIG Administration	The Inspector General has the authority and responsibility to supervise and conduct audits, inspections, and investigations involving USCP programs, functions, systems, or operations.		\$426,426	\$452,500	\$452,500	\$0	
Office of Inspector General Total			\$426,426	\$452,500	\$452,500	\$0	
Office of Policy & Management Systems							
OPOL Administration	Provides funding for the Office of Policy and Management Systems to create, maintain, and administer the written directive system, create, maintain, and administer the written communications system, administer the vital records, documents, and files system, and manage, facilitate and maintain accreditation from the Commission on Accreditation of Law Enforcement Agencies, Inc. (CALEA).	An increase of \$11,030 for training and related travel. An increase of \$57,600 in contractual services for administrative and records management support.	\$72,391	\$68,340	\$136,570	\$68,230	99.84%
Office of Policy & Management Systems Total			\$72,391	\$68,340	\$136,570	\$68,230	99.84%

Programs & Sub-programs	Description	Major Program Changes FY 20 to FY 21	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change	% Change
Office of Professional Responsibility							
OPR Administration	The Office of Professional Responsibility is comprised of Internal Affairs Division (IAD) and the Inspection Division (ID). IAD conducts internal administrative investigations of allegations of misconduct made against members of the Department. IAD conducts reviews of Departmental operations, program facilities, personnel, documents, processes and activities for efficiency and effectiveness as well as legal and regulatory compliance. The OPR Administration program provides funding for administrative costs such as, supplies, training and travel.	A net decrease of (\$14,082) in training and related travel.	\$17,355	\$50,665	\$36,583	(\$14,082)	(27.79%)
Office of Professional Responsibility Total			\$17,355	\$50,665	\$36,583	(\$14,082)	(27.79%)
Operational Services Bureau							
OSB Administration	Provides funding for Operational Services Bureau administrative costs such as official travel for the immediate office, contractor support services, and office supplies. OSB includes the Patrol Mobile Response Division, Hazardous Devices Section, the Hazardous Materials Response Team, K-9 and Offsite Delivery, and the Containment Emergency Response Team (CERT).	A decrease of (\$262) for general office supplies.	\$1,044	\$1,800	\$1,538	(\$262)	(14.56%)
OSB Hazardous Incident Response	Provides funding for operating supplies, controlled explosives, and required equipment to carry out the mission. The Hazardous Incident Response Program is comprised of the Hazardous Devices Section and the Hazardous Materials Response Team. These teams are responsible for prevention and mitigation of explosive devices.	Increases of \$46,700 for capitalized and non capitalized equipment, \$6,500 for system supplies, \$2,500 for membership fees, \$19,600 for merchant services, \$4,300 for general office supplies. Decreases of (\$800) for biohazard supplies and (\$57,000) for training and related travel.	\$1,171,778	\$878,071	\$899,876	\$21,805	2.48%
OSB Special Operations Division	Special Operations Division consists of Uniformed Patrol, the Motorcycle Unit, Mountain Bike Unit, CERT Operations, Crime Scene Technicians, the Crash Investigation Team, the Intoxilyzer Unit, Offsite-Delivery and the K-9 Unit.	Increases of \$43,100 for training and related travel, \$7,800 for contract support and merchant services, \$25,100 for crime scene, CERT, and K-9 supplies, \$147,600 for capitalized and non-capitalized equipment and software, \$1,200 for membership fees, and \$14,700 for canine supplies/veterinary services. Decreases of (\$81,000) for weapon replacement parts and (\$3,800) for temporary duty travel.	\$782,051	\$905,049	\$1,009,898	\$104,849	11.58%
Operational Services Bureau Total			\$1,954,973	\$1,783,920	\$1,911,313	\$126,392	7.08%
Protective Services Bureau							
PSB Administration	Protective Services Bureau includes Dignitary Protection, and the Investigations Division, which includes intelligence operations, threat assessments, and criminal investigations. Provides funding for administrative costs such as supplies and contractual support for the Protective Services Bureau and training and travel for the immediate office.	A decrease of (\$3,000) in local telecommunications, an increase of \$6,900 in contractual support services and office supplies.	\$64,911	\$175,857	\$179,615	\$3,758	2.14%
PSB Intelligence Analysis	Provides funding for the training and training-related travel for the Intelligence Analysis Division. The PSB Intelligence Analysis Division is comprised of the Intelligence Analysis Section (IAS), Open Source Section (OSS), Liaison Section (LS), and Personnel Security Section (PSS). PSB-IAD is responsible for protecting Members of Congress, other statutory protectees, other U.S. Government officials, visiting foreign dignitaries, and property under the jurisdiction of the U.S. Congress by providing threat warning information and analysis of current intelligence on terrorist activities worldwide on a time sensitive basis.	An increase of \$2,000 in office supplies for the new Intelligence Analysis program.	\$0	\$0	\$2,000	\$2,000	
PSB Investigations	Provides funding for the training and training-related travel for the Investigations Division. The PSB Investigations Division is comprised of the Criminal Investigations Section (CIS), Intelligence Operations Section (IOS), and Threat Assessment Section (TAS). PSB-ID is responsible for collecting information on and investigating potential and known criminal activity occurring on U.S. Capitol Grounds; assessing threats; monitoring and coordinating investigations affecting the Federal Legislative Branch with local, state and other federal agencies; and exchanging information and intelligence with other government agencies.	An increase of \$750,000 for the establishment of travel for Threat Deployment and Protective Intelligence; an increase of \$61,000 for training and training related travel; an increase of \$13,000 in government support services, office supplies and publications and membership fees; an increase of \$140,700 for contractor support services, maintenance agreements, and non-capitalized equipment (previously under the Protective Services program).	\$0	\$0	\$964,864	\$964,864	

Programs & Sub-programs	Description	Major Program Changes FY 20 to FY 21	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change	% Change
PSB Protective Detail Travel	Provides funding for Dignitary Protection Division (DPD) travel. The DPD is responsible for protecting Members assigned to Leadership positions in the U.S. House of Representatives and U.S. Senate as well as Members who receive direct threats that have been assessed through PSB and approved by the Capitol Police Board. Also provides protective escorts within the Capitol Complex for Heads of State, VIP's and other visiting dignitaries.	An increase of \$1,927,000 in Dignitary Protection travel; an increase of \$295,800 for training and travel related training; an increase of \$5,100 for commercial vehicle rental in support of protective detail travel; and a decrease of (\$28,700) in miscellaneous rentals (storage and parking spaces).	\$10,462,176	\$12,523,606	\$14,722,943	\$2,199,337	17.56%
PSB Protective Services	Provides funding for the training and training related travel for the Dignitary Protection Division. Also provides funding for expenses related to the Democratic and Republican Conventions held every four (4) years.	A decrease of (\$69,600) in training and training related travel; a decrease of (\$88,600) in contractual support services; a decrease of (\$38,400) in temporary duty travel; a net decrease of (\$15,300) in small purchases, maintenance agreements and non-capitalized equipment; an increase of \$7,000 in office supplies; A decrease of (\$2,863,500) of non-recurring Convention expenditures.	\$1,020,421	\$3,990,786	\$15,000	(\$3,075,786)	(99.51%)
Protective Services Bureau Total			\$11,542,597	\$15,790,249	\$15,884,473	\$94,173	0.60%
Security Services Bureau							
SSB Administration	Provides funding for travel, training, maintenance and repairs of the security systems network, and supplies for each of the Divisions of security services.	Decrease of (\$233,400) in training travel. Decrease of (\$29,000) in equipment.	\$358,041	\$404,010	\$143,216	(\$260,794)	(64.55%)
SSB Hardware & Operations	Provides funding for the tools and devices needed to properly inspect, test, and repair the sophisticated security equipment deployed throughout the Capitol Complex. Other projects include Member Survey & Services, fire doors, kiosks, locks and keys.	Increase of \$165,800 for replacement of life-cycle equipment. Increase of \$3,700 in system supplies. Increase of \$18,700 in Member survey travel. Decrease of (\$1,600) for contractor support.	\$279,584	\$264,959	\$451,539	\$186,580	70.42%
SSB Inauguration	Provides support for the Protection of the Congressional Community by ensuring the security of the event, staff, dignitaries, heads of state, and the leaders of all branches of the U.S. Government.	Increase for the 59th Presidential Inauguration (Life-cycle replacement of CCTV camera)	\$0	\$0	\$154,499	\$154,499	
SSB Screening Technologies	Provides funding for several projects for detection and screening throughout the Capitol Complex. Projects include enhanced portals, explosive detectors, metal detectors, podiums, and X-ray.	Decrease of (\$8,300) in contractor support. Decrease of (\$102,900) for system supplies. Increase of \$128,300 for replacement of life-cycle equipment. Decrease of (\$15,500) for office supplies at podiums.	\$3,008,860	\$2,184,556	\$2,186,152	\$1,596	0.07%
SSB Security Systems	Provides funding for emergency annunciators, the public address system, and Closed Circuit Television (CCTV). Projects include countermeasures, doors, mobile security, network & infrastructure, security management, Speaker's security, and Sensitive Compartmented Information Facilities (SCIF) alarms.	Decrease of (\$792,400) in contractor support. Increase of \$83,800 for system supplies. Increase of \$6,856,800 for replacement of life-cycle equipment and upgrade to the TSCM equipment. Increase of \$1,010,500 for software licenses and system patches.	\$7,492,003	\$4,651,549	\$1,810,366	\$7,158,817	153.90%
SSB Service Contracts	Provides funding for critical projects such as the security contract for the Alternate Computer Facility (ACF) which houses the backup computer network for the U.S. House of Representatives, U.S. Senate, Architect of the Capitol, and the Library of Congress. Also provides funding for projects such as barriers, installations, security equipment maintenance, support staffing, and Technical Countermeasure (TCM) specialized security equipment.	Increase of \$1,545,300 in contractor support. Decrease of (\$3,000) for system supplies. Decrease of (\$237,500) for replacement of life-cycle equipment.	\$1,716,692	\$1,300,541	\$12,605,301	\$1,304,760	11.55%
SSB Special Projects	Funds the outcomes of our continued efforts to keep up with the changing security environment and threat level that the Capitol community faces every day. The projects within are a result of our collaboration with and support of our stakeholders, and they are designed to ensure that safety concerns are addressed. Multi-year funds are requested for these projects, as in many cases, their execution is heavily dependent on variables over which the USCP has no direct control.	Decrease of (\$200,000) for the Foundation Alarm project and (\$569,825) for the Kiosk project.	\$775,034	\$840,000	\$70,175	(\$769,825)	(91.65%)
Security Services Bureau Total			\$23,620,215	\$19,645,615	\$27,421,248	\$7,775,633	39.58%
Training Services Bureau							
TSB Administration	Training Services provides recruit and in-service training services for the Department. Includes administrative costs for the Training Services Bureau (TSB) such as official travel, relocation moves for USCP personnel assigned to FLETC Georgia, office supplies as well as firing range simulation.	Decrease of (\$5,000) in temporary duty travel for trips to FLETC. Decrease of (\$55,000) for PCS.	\$10,539	\$88,602	\$28,270	(\$60,332)	(68.09%)

Programs & Sub- programs	Description	Major Program Changes FY 20 to FY 21	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change	% Change
TSB Training Services	Includes operational costs for recruit and in-service training for USCP sworn staff, costs for ammunition and firing range administration, Cheltenham usage (firing and driving range) and facility costs as well as costs for the Police Executive Leadership Program.	Increase of \$40,000 for the range cleaning contract. Decrease of (\$353,700) for training & related travel. Increase of \$23,000 for firearms equipment such as targets, PA system, facility tools, etc. Decrease of (\$1,300) for firing range usage. Increase of \$17,000 for leadership training. Increase of \$60,000 for FLETC facility costs. Increase of \$189,000 for option year three of the training instructor contract. Increase of \$20,000 in equipment for training such as safety gear and props. Decrease of (\$4,300) in office supplies. Increase of \$1,600 for FBNA uniforms.	\$3,223,059	\$3,559,515	\$3,551,249	(\$8,266)	(0.23%)
Training Services Bureau Total			\$3,233,597	\$3,648,117	\$3,579,519	(\$68,598)	(1.88%)
Uniformed Services Bureau	Provides funding for USB administrative costs, which include travel, training, supplies, and office equipment.	Increase of \$1,000 in training (Child Passenger Safety Certification). Decrease of (\$9,800) in office supplies.	\$37,458	\$69,375	\$60,520	(\$8,855)	(12.76%)
Uniformed Services Bureau Total			\$37,458	\$69,375	\$60,520	(\$8,855)	(12.76%)
GRAND TOTAL			\$98,772,044	\$85,279,000	\$95,544,142	\$14,265,142	16.73%

IV. FY 2021 Budget Schedules

1. Resource Summary
2. Details by Object Category
3. Analysis of Change
4. Positions by Rank and Grade
5. Reports on Outstanding Government Accountability Office and Inspector General Recommendations
6. Proposed Appropriations Language

1. RESOURCE SUMMARY

(\$ in Thousands)

	FY 2019 Budget Authority	FY 2020 Enacted	FY 2021 Request	Change FY20/FY21	% Change
Salaries (Annual)					
Appropriation	374,804	379,062	417,197	38,135	10.06%
Transfer	(9,770)				
Total	\$365,034	\$379,062	\$417,197	\$38,135	10.06%
General Expenses (Annual)					
Appropriation	81,504	85,279	99,544	14,265	16.73%
Transfer	9,770				
Total	\$91,274	\$85,279	\$99,544	\$14,265	16.73%
Total Annual Appropriation	\$456,308	\$464,341	\$516,741	\$52,400	11.28%
General Expenses (No Year)					
JAWS Alert System			3,600	3,600	
Grand Total Appropriation	\$456,308	\$464,341	\$520,341	\$56,000	12.06%

Note: Totals may contain rounding variances

2. DETAILS BY OBJECT CATEGORY

(\$ in Thousands)

Object Category	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request	Change	% Change
11.1 Full-time Permanent	217,223	230,071	248,017	17,946	7.80%
11.5 Other personnel compensation	47,324	52,995	57,521	4,526	8.54%
12.1 Civilian personnel benefits	99,020	95,846	111,509	15,663	16.34%
13.1 Benefits for former personnel	22	150	150	-	-
Total Salaries	363,589	379,062	417,197	38,135	10.06%
21.0 Travel & Transportation of Persons	15,222	19,624	20,452	828	4.22%
22.0 Transportation of Things	36	14	40	26	185.71%
23.3 Rent, Communications, Utilities & Misc. Charges	3,245	3,432	3,086	(346)	(10.08%)
24.0 Printing & Reproduction	-	9	23	14	155.56%
25.1 Advisory & Assistance Services	34,572	34,381	38,461	4,080	11.87%
25.2 Other Services	6,082	4,983	8,544	3,561	71.46%
25.3 Other Purchases of Goods & Svcs from Govt	3,015	2,341	2,559	218	9.31%
25.6 Medical Care	168	139	254	115	82.73%
25.7 Operations & Maint Equipment	244	250	250	-	-
26.0 Supply & Materials	6,322	5,576	5,770	194	3.48%
31.0 Equipment	21,835	14,417	19,992	5,575	38.67%
42.0 Insurance Claims & Indemnities	31	113	113	-	-
Total General Expenses	90,772	85,279	99,544	14,265	16.73%
Total Annual	\$454,362	\$464,341	\$516,741	\$52,400	11.28%
(No Year) JAWS Alert System			3,600	3,600	
Grand Total	\$454,362	\$464,341	\$520,341	\$56,000	12.06%

Note: Totals may contain rounding variances

3. ANALYSIS OF CHANGE

FY 2021 Analysis of Change		(\$ in Thousands)
		Amount
FY 2020 Enacted		\$464,341
FY 2021 Changes:		
Pay and Related Costs		
<i>Non-recurring Costs: Overtime 2020 Conventions/Pre-Inauguration</i>		(2,959)
FY 2020 Salaries for authorized FTEs annualized for FY 2021		12,827
Overtime - Core Mission, Unscheduled, Training, LOC non-reimbursable events		3,433
Overtime - Inauguration		2,724
Annualized Benefits		15,663
Lump Sum and Misc. Payments		6,447
Total, Pay and Related Costs		\$38,135
Program Changes (Net)		
Price Level Changes		539
<i>Non-recurring Costs: Conventions</i>		(2,863)
Administrative		425
Background Investigations and Credentialing		678
Command and Coordination Bureau: Operations - Contractor support, training, travel for training, equipment		12
Facilities Mgmt : FFE Replacement, Contracts, and Occupational Safety		753
Financial Management & Accountability		492
Financial Management: Agency-wide Services (gas, internal training, and equipment)		408
Fleet Management: Vehicles, repairs, rental, supplies		583
Human Resources: Operations and Systems		215
Human Resources: Recruiting and Employment		116
Information Systems: Enterprise Applications		1,209
Information Systems: Information Security		241
Information Systems: Operations		(472)
Information Systems: Project Management		460
Information Systems: Radio Services		499
Information Systems: Voice and Data Services		(300)
Operational Services: Hazardous Response- External training, travel for training, ammunition, equipment		22
Operational Services: Patrol Mobile Response - Training, travel for training, ammunition, equipment		105
Property Management: Logistical Support		600
Protective Services: Intelligence Analysis & Investigations		967
Protective Services: Protective Detail - Travel and chartered flights		2,199
Protective Services: Protective Service - Contractor support, training, travel for training, equipment		(212)
Security Services: Hardware & Operations		187
Security Services: Inauguration		154
Security Services: Screening Technologies - Lifecycle replacement, contractor support, equipment		2
Security Services: Security Systems - Life cycle replacement, contractor support, equipment		7,159
Security Services: Service Contracts		1,305
Security Services: Special Projects		(770)
Training Services: Training Programs		(446)
Total, Program Changes		\$14,265
Net Annual Increase/Decrease		\$52,400
Total FY 2021 Annual Appropriation		\$516,741
(No Year) JAWS Alert System		\$3,600
Grand Total FY 2021 Appropriation		\$520,341

4. POSITIONS BY RANK AND GRADE

This chart is an analysis of the FY 2021 personnel request for positions, by rank and grade based on authorizations. Sworn and civilian employees are compensated under two separate pay tables: the civilian pay table (CP) is a graded system from levels 1 to 15; while, the sworn pay table is rank ordered from Private through Deputy Chief. Office of Inspector General staff is listed as appointed, and their compensation rates are determined by the Inspector General. The Chief of Police, Assistant Chiefs, Chief Administrative Officer, General Counsel and Inspector General are statutory/appointed employees and compensation is directed by statute/equivalent.

(#'s)

GRADE	Appointed* FY21	Sworn FY21	Civilian FY21	Total USCP FY21
Chief	1			1
Assistant Chief	2			2
Deputy Chief		5		5
Inspector		11		11
Captain		19		19
Lieutenant		52		52
Sergeant/Special Technician		259		259
Officer/Equivalent		1,723		1,723
TOTAL SWORN	3	2,069	0	2,072
CAO, OGC, CP-14/15	2		13	15
CP-13			26	26
CP-11 to 12			71	71
CP-4 to 10			272	272
CP-3			118	118
OIG	10			10
TOTAL CIVILIAN	12	0	500	512
TOTAL	15	2,069	500	2,584

*Appointed includes the Chief, Assistant Chiefs, Chief Administrative Officer, General Counsel and ten OIG positions.

5. REPORTS ON OUTSTANDING GOVERNMENT ACCOUNTABILITY OFFICE AND INSPECTOR GENERAL RECOMMENDATIONS

Pursuant to P.L.114-414 “Good Accounting Obligation in Government Act”, the following information is provided in response to Section 2. Reports on Outstanding Government Accountability Office and Inspector General Recommendations:

Report of Public Recommendations for Corrective Action from the United States Capitol Police (USCP) Office of Inspector General (OIG)

- The USCP OIG does not issue public recommendations, as these are determined to be security sensitive by the Capitol Police Board.

Report of Public Recommendations for Corrective Action from the Government Accountability Office (GAO)

- The Department was notified by the GAO in January 2020 that two open recommendations remain from the GAO’s work from the early 2000s. Upon the creation of the USCP OIG in 2006, the Department understood that the USCP OIG had addressed pending/open recommendations with the GAO and that all recommendations had been closed in order to allow the USCP OIG to conduct oversight of the Department’s programs. To address these open recommendations, the Department has provided documentation to the GAO regarding the efforts that were completed previously to address these areas. The GAO is currently considering this documentation for closure of these recommendations.

Recommendation:

In order to reduce current operational risks and help the Office of Financial Management (OFM) achieve its long-term goal of becoming a fully functional financial management operation with a solid foundation of control and accountability, the Chief of Police should direct the Director of OFM to develop and implement detailed policies and procedures covering USCP’s procurement activities and provide training to the appropriate staff.

Recommendation:

In order to reduce current operational risks and help OFM achieve its long-term goal of becoming a fully functional financial management operation with a solid foundation of control and accountability, the Chief of Police should direct the Director of OFM to provide training and other guidance to OFM staff to ensure consistent application of the applicable policies and procedures relating to financial management operations.

6. PROPOSED APPROPRIATIONS LANGUAGE

Salaries

For salaries of employees of the Capitol Police, including overtime, hazardous duty pay, and Government contributions for health, retirement, social security, professional liability insurance, and other applicable employee benefits, [\$379,062,000] \$417,197,000 of which overtime shall not exceed [\$47,048,000] \$50,246,000 unless the Committee on Appropriations of the House and Senate are notified, to be disbursed by the Chief of the Capitol Police or his designee. *(Legislative Branch Appropriations Act, 2020.)*

General Expenses

For necessary expenses of the Capitol Police, including motor vehicles, communications and other equipment, security equipment and installation, uniforms, weapons, supplies, materials, training, medical services, forensic services, stenographic services, personal and professional services, the employee assistance program, the awards program, postage, communication services, travel advances, relocation of instructor and liaison personnel for the Federal Law Enforcement Training Center, and not more than \$5,000 to be expended on the certification of the Chief of the Capitol Police in connection with official representation and reception expenses, [\$85,279,000] \$103,144,000 *of which \$3,600,000 shall remain available until expended, to fund the Joint Audible Warning System (JAWS)* to be disbursed by the Chief of the Capitol Police or his designee: Provided, that, notwithstanding any other provision of law, the cost of basic training for the Capitol Police at the Federal Law Enforcement Training Center for fiscal year [2020] 2021 shall be paid by the Secretary of Homeland Security from funds available to the Department of Homeland Security. *(Legislative Branch Appropriations Act, 2020.)*

V. Index of Acronyms

ACC	Alternate Command Center
ACF	Alternate Computer Facility
AED	Automated External Defibrillator
ALERT	Advanced Law Enforcement Response Team
ATV	All-Terrain Vehicle
BES	Blackberry Enterprise Server
CAD	Computer-Aided Design
CALEA	Commission on Accreditation for Law Enforcement Agencies
CAO	Chief Administrative Officer
CCB	Command and Coordination Bureau
CCTV	Closed Circuit TV
CDU	Civil Disturbance Unit
CERT	Containment Emergency Response Team
CIS	Criminal Investigation Section
CODEL	Congressional Delegation
COLA	Cost of Living Adjustment
COMSEC	Communications Security
COO	Chief of Operations (Assistant Chief)
COOP	Continuity of Operations
COP	Chief of Police
CP	Civilian Pay
CR	Continuing Resolution
DPD	Dignitary Protection Division
EMT	Emergency Medical Technician
FD	Force Development
FERS	Federal Employees Retirement System
FFE	Furniture Fixtures and Equipment
FLETC	Federal Law Enforcement Training Center
FTE	Full-Time Equivalent
FY	Fiscal Year
GAO	Government Accountability Office
GSA	General Services Administration
HCSD	Human Capital Strategy, Staffing, and Employment Division
HDS	Hazardous Devices Section
HRIS	Human Resources Information Systems Division
IAD	Internal Affairs Division
ICS	Incident Command System
IOS	Intelligence Operations Section
IDEA	Office of Inclusion, Diversity, Equity, and Action
IRB	Investment Review Board
ISIL	Islamic State of Iraq and the Levant
IT	Information Technology
JAWS	Joint Audible Warning System
K-9	Canine
LAN	Local Area Network
LOC	Library of Congress
LWOP	Leave without Pay
MDM	Mobile Device Management
MS SQL	Microsoft Structured Query Language
NFC	National Finance Center
NSSE	National Special Security Events
OBIC	Office of Background Investigations and Credentialing
OC	Object Class

OAI	Office of Accountability and Improvement
OAM	Office of Acquisition Management
OEC	Office of Employment Counsel
OFL	Office of Facilities and Logistics
OFL-FMD	OFL-Facilities Management Division
OFL-PAMD	OFL-Property and Asset Management Systems
OFL-VMD	OFL-Vehicle Management Division
OFM	Office of Financial Management
OGC	Office of the General Counsel
OHR	Office of Human Resources
OIG	Office of Inspector General
OIS	Office of Information Systems
OPOL	Office of Policy and Management Systems
OPR	Office of Professional Responsibility
OSB	Operational Services Bureau
OSB-SOD	OSB-Special Operations Division
OSHE	Occupational Safety and Health and Environment Division
OT	Overtime
PA	Public Address
PCS	Permanent Change of Station
PIO	Public Information Office
PSB	Protective Services Bureau
PTO	Police Training Officer
RPP	Respiratory Protection Program
SCIF	Sensitive Compartmented Information Facility
SOD	Special Operations Division
SSB	Security Services Bureau
TAS	Threat Assessment Section
TCM	Technical Countermeasures
TSCM	Technical Security Countermeasures
TSB	Training Services Bureau
TS/SCI	Top Secret/Sensitive Compartmented Information
UPTP	Uniformed Police Training Program
USB	Uniformed Services Bureau
USCP	United States Capitol Police
VMS	Video Monitoring System
VOIP	Voice Over Internet Protocol
VSAT	Very Small Aperture Terminal
WIGI	Within Grade Increase

USCP FY 2021 Salary Projection

FY 2020 Base	Positions	Per PP
Sworn	1,975	192,282
Civilian	406	45,371
LWOP Adj.		-744
Total Base	2,381	236,909
		9,112

COLA	3.00%
PP20 A	70.82%
PP20 B	37.92%

PP	Base	Proj. WIG	Adj. Base	Night Diff.	Sund. Diff.	Night & Sunday Diff.	Holiday pay	Hazard Duty Pay	Subtotal Salary	Benefits	Lump Sum Leave	FTO	Base	Overtime Un-scheduled	LOC-Non-Reimb.	Subtotal	Benefits	Total
			1101	1180	1163	1164	1180	1187	1100's	42.20%	1183	1188		1170			7.65%	
20	6,453	1	6,454	87	12	22	143	16	6,591	2,782	25	4	1,141	98	18	1,286	98	10,757
21	9,112	4	9,117	123	17	31	270	23	9,454	3,990	25	6	1,713	98	18	1,859	142	15,445
22	9,117	2	9,118	123	17	31	270	23	9,312	3,930	25	6	1,520	98	18	1,656	127	15,036
23	9,118	5	9,124	123	17	31	270	23	9,588	4,046	25	6	1,964	98	18	2,110	161	15,906
24	9,124	1	9,124	123	17	31	270	23	9,512	4,014	25	6	1,449	98	18	1,595	122	15,244
25	9,124	7	9,132	123	17	31	257	23	9,326	3,935	25	6	1,673	98	18	1,820	139	15,220
26	9,132	9	9,141	123	17	31	257	23	9,592	4,048	25	6	1,609	98	18	1,756	134	15,530
1	9,141	7	9,150	123	17	31	574	23	9,344	3,943	25	6	1,359	101	19	1,509	115	14,912
2	9,150	7	9,157	123	17	31	574	23	9,925	4,188	25	6	1,392	101	19	1,543	118	15,774
3	9,157	4	9,161	123	17	31	152	23	9,355	3,948	25	6	1,844	101	19	1,984	153	15,449
4	9,161	2	9,162	123	17	31	152	23	9,508	4,012	25	6	1,936	101	19	2,086	180	15,768
5	9,162	6	9,169	123	17	31	152	23	9,363	3,951	25	6	1,347	101	19	1,488	115	14,926
6	9,169	8	9,177	123	17	31	152	23	9,371	3,954	25	6	1,384	101	19	1,514	116	14,955
7	9,177	10	9,186	123	17	31	152	23	9,380	3,958	25	6	1,604	101	19	1,754	134	15,227
8	9,186	8	9,195	123	17	31	152	23	9,398	3,962	25	6	1,516	101	19	1,668	128	15,146
9	9,195	4	9,199	123	17	31	152	23	9,400	3,967	25	6	1,344	101	19	1,494	114	14,933
10	9,199	8	9,206	123	17	31	170	23	9,577	4,041	25	6	2,085	101	18	2,235	171	16,024
11	9,206	3	9,213	123	17	31	170	23	9,410	3,971	25	6	1,364	101	19	1,514	116	15,010
12	9,213	3	9,216	123	17	31	170	23	9,419	3,975	25	6	1,410	101	19	1,560	119	15,073
13	9,216	5	9,225	123	17	31	278	23	9,702	4,094	25	6	2,050	101	19	2,200	168	16,165
14	9,225	5	9,230	123	17	31	278	23	9,436	3,982	25	6	1,425	101	19	1,575	121	15,113
15	9,230	11	9,242	123	17	31	278	23	9,441	3,984	25	6	2,225	101	19	2,376	182	15,983
16	9,242	5	9,247	123	17	31	177	23	9,451	3,988	25	6	2,148	101	19	2,298	176	15,913
17	9,247	10	9,257	123	17	31	177	23	9,630	4,064	25	6	1,550	101	19	1,700	130	15,524
18	9,257	3	9,259	123	17	31	177	23	9,464	3,994	25	6	1,392	101	19	1,543	118	15,118
19	9,259	10	9,270	123	17	31	177	23	9,464	3,994	25	6	1,392	101	19	1,543	118	15,118
20	3,515		3,515	47	6	12		9	3,588	1,514	9	2	940	102	20	1,073	82	6,259
									34	14							48	380
Civilian Career-Leader																		
Non-NFC payments and additional costs																		
TOTALS			239,645	3,215	446	811	2,216	587	246,953	104,214	646	138	42,680	2,701	506	46,691	3,572	401,791

Other	Pay	Benefits	Total
COLA	5,507	2,324	7,832
Overtime - Training 24,000 Hrs.	1,635	125	1,760
OT - Inauguration 40,000 hours	2,734	208	2,932
Half year funding for 40 Sworn and 14 Civilian	2,027	855	2,882
Grand Total	15,406	3,513	\$417,197

FY 2020 BASE SWORN AND CIVILIAN SALARY ESTIMATES

Sworn salary Base PP 20 FY 2019			
	Positions	Salary	
Salary-Sworn	1,918	178,119	
Salary - Sworn - Appointed	3	513	
Backfill for open positions	54	3,348	
	1,975	181,979	
FY 2020 COLA (3.52%)		6,406	
FY 2020 WIGS		3,155	
2020 Sworn Promotion impact		743	
Base Subtotal		10,304	
Total Sworn Salary base	1,975	192,282	

Civilian salary Base PP 20 FY 2019			
	Positions	Salary	
Salary - Civilian	368	38,916	
Salary Appointed	11	1,621	
Backfill for open positions	27	2,888	
	406	43,425	
FY 2020 COLA (3.52%)		1,529	
FY 2020 WIGS		284	
FY 20 Career Ladder		133	
Base Subtotal		1,946	
Total Civilian Salary base	406	45,371	

\$ 000's

United States Capitol Police
FY 2021 General Expenses by Program, Project, and BOC

Program	Subprogram	Project	BOC	BOC Description	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change from FY20	
					\$	\$	\$	\$	%
Chief Administrative Officer									
CAO Administration									
CAO Administration									
CAO-001									
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	17	-	1,800	1,800	100.00%
				2410 Printing and Binding	-	-	-	-	-
				2510 Membership Fees	-	-	-	-	-
				2512 External Training	2,178	6,451	6,828	377	5.84%
				2513 Management Development	-	-	-	-	-
				2526 Contractor Support Services non-Federal	-	-	-	-	-
				2535 Government Support Services	1,398	-	-	-	-
				2610 Office & Miscellaneous Supplies	2,709	5,070	4,100	(970)	(19.13%)
				2630 Subscriptions and Publications	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and	-	-	-	-	-
				3194 Non-Capitalized Software	-	-	-	-	-
				CAO-001 Total	6,302	11,521	12,728	1,207	10.48%
				CAO Administration Total	6,302	11,521	12,728	1,207	10.48%
				CAO Administration Total	6,302	11,521	12,728	1,207	10.48%
				Chief Administrative Officer Total	6,302	11,521	12,728	1,207	10.48%
Chief of Police									
COP Administration									
COP Administration									
COP-001									
				2110 Temporary Duty (TDY) Travel	7,047	5,000	5,000	-	-
				2111 Temp Travel Training	-	-	-	-	-
				2410 Printing and Binding	-	-	-	-	-
				2510 Membership Fees	2,225	4,000	4,000	-	-
				2512 External Training	349	698	5,603	4,905	702.72%
				2526 Contractor Support Services non-Federal	-	5,000	5,000	-	-
				2535 Government Support Services	904	-	-	-	-
				2610 Office & Miscellaneous Supplies	8,243	8,900	10,236	1,336	15.01%
				2615 Provisions	-	-	-	-	-
				2622 Vehicle Fluid Supplies	-	-	-	-	-
				2630 Subscriptions and Publications	-	500	500	-	-
				2690 Small Purchases	37	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and	-	-	-	-	-
				COP-001 Total	18,805	24,098	30,339	6,241	25.90%
				COP Administration Total	18,805	24,098	30,339	6,241	25.90%
COP Ceremonial Unit									
COP-002									
				2610 Office & Miscellaneous Supplies	453	1,500	1,500	-	-
				COP-002 Total	453	1,500	1,500	-	-
				COP Ceremonial Unit Total	453	1,500	1,500	-	-
COP Representation Fund									
COP-100									
				2610 Office & Miscellaneous Supplies	432	5,000	5,000	-	-
				2615 Provisions	1,761	-	-	-	-
				2630 Subscriptions and Publications	-	-	-	-	-
				2690 Small Purchases	612	-	-	-	-
				COP-100 Total	2,804	5,000	5,000	-	-
				COP Representation Fund Total	2,804	5,000	5,000	-	-
				COP Administration Total	22,062	30,598	36,839	6,241	20.40%
				Chief of Police Total	22,062	30,598	36,839	6,241	20.40%
Command and Coordination Bureau									
CCB Command									
CCB Command Center Operations									
PHS-100									
				2110 Temporary Duty (TDY) Travel	4,000	2,000	2,000	-	-
				2111 Temp Travel Training	-	-	-	-	-
				2512 External Training	-	-	9,020	9,020	100.00%
				2526 Contractor Support Services non-Federal	2,500	3,400	2,400	(1,000)	(29.41%)
				2610 Office & Miscellaneous Supplies	6,555	9,180	6,980	(2,200)	(23.97%)

Program	Subprogram	Project	BOC	BOC Description	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change from FY20	
					\$	\$	\$	\$	%
				2620 System Supplies and Materials	97	-	-	-	-
				2637 Law Enforcement Uniforms	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and V	-	-	-	-	-
				PHS-100 Total	13,152	14,580	20,400	5,820	39.92%
				CCB Command Center Operations Total	13,152	14,580	20,400	5,820	39.92%
				CCB Command Vehicle Operations					
				PHS-101					
				2111 Temp Travel Training	-	-	-	-	-
				2512 External Training	-	-	-	-	-
				2526 Contractor Support Services non-Federal	11,863	12,000	1,400	(10,600)	(88.33%)
				2540 Miscellaneous Merchant & Vendor Services	-	-	-	-	-
				2610 Office & Miscellaneous Supplies	1,211	3,000	3,000	-	-
				2630 Subscriptions and Publications	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and V	1,292	28,500	37,000	8,500	29.82%
				3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
				PHS-101 Total	14,366	43,500	41,400	(2,100)	(4.83%)
				CCB Command Vehicle Operations Total	14,366	43,500	41,400	(2,100)	(4.83%)
				CCB Communications Center Operations					
				PHS-102					
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	-	-	-	-	-
				2512 External Training	-	4,020	-	(4,020)	(100.00%)
				2526 Contractor Support Services non-Federal	-	-	-	-	-
				2610 Office & Miscellaneous Supplies	4,939	5,000	4,000	(1,000)	(20.00%)
				3110 Non-Capitalized Furniture, Equipment, and V	-	-	-	-	-
				PHS-102 Total	4,939	9,020	4,000	(5,020)	(55.65%)
				CCB Communications Center Operations Total	4,939	9,020	4,000	(5,020)	(55.65%)
				CCB Command Total	32,457	67,100	65,800	(1,300)	(1.94%)
				CCB Coordination					
				PHS-001					
				2110 Temporary Duty (TDY) Travel	803	-	-	-	-
				2111 Temp Travel Training	-	-	9,492	9,492	100.00%
				2310 Rental of Equipment	-	-	-	-	-
				2512 External Training	-	5,001	9,648	4,647	92.92%
				2513 Management Development	-	-	-	-	-
				2526 Contractor Support Services non-Federal	783	-	-	-	-
				2610 Office & Miscellaneous Supplies	4,737	4,800	4,000	(800)	(16.67%)
				2637 Law Enforcement Uniforms	-	-	-	-	-
				2699 Credit Card Disputes	-	-	-	-	-
				3194 Non-Capitalized Software	-	-	-	-	-
				PHS-001 Total	6,323	9,801	23,140	13,339	136.10%
				CCB Coordination Total	6,323	9,801	23,140	13,339	136.10%
				CCB Coordination Total	6,323	9,801	23,140	13,339	136.10%
				Command and Coordination Bureau Total	38,780	76,901	88,940	12,039	15.66%
				Office of Acquisition Management					
				OAM Administration					
				OAM Administration					
				OAM-001					
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	1,336	-	3,000	3,000	100.00%
				2410 Printing and Binding	-	-	-	-	-
				2510 Membership Fees	-	-	-	-	-
				2512 External Training	829	-	18,148	18,148	100.00%
				2513 Management Development	-	-	-	-	-
				2526 Contractor Support Services non-Federal	261,686	312,113	349,419	37,306	11.95%
				2535 Government Support Services	-	-	-	-	-
				2610 Office & Miscellaneous Supplies	5,018	5,410	5,500	90	1.66%
				2630 Subscriptions and Publications	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and V	-	-	-	-	-
				3194 Non-Capitalized Software	-	-	-	-	-
				OAM-001 Total	268,869	317,523	376,067	58,544	18.44%
				OAM Administration Total	268,869	317,523	376,067	58,544	18.44%
				OAM Administration Total	268,869	317,523	376,067	58,544	18.44%
				Office of Acquisition Management Total	268,869	317,523	376,067	58,544	18.44%
				Office of Background Investigations and Credentialing					

Program	Subprogram	Project	BOC	BOC Description	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change from FY20	
					\$	\$	\$	\$	%
OBIC Background Investigations & Credentialing Administration									
OBIC Background Investigations & Credentialing Administration									
OBIC-001									
				2110 Temporary Duty (TDY) Travel	206,469	294,698	230,550	(64,148)	(21.77%)
				2111 Temp Travel Training	51	-	15,297	15,297	100.00%
				2112 Local Travel	-	-	1,000	1,000	100.00%
				2315 Software Subscriptions	16,940	8,000	18,062	10,062	125.78%
				2410 Printing and Binding	-	-	-	-	-
				2440 Advertising & Recruiting	-	-	5,100	5,100	100.00%
				2510 Membership Fees	-	-	-	-	-
				2512 External Training	5,765	-	12,994	12,994	100.00%
				2517 Applicant Testing	32,480	-	2,325,796	2,325,796	100.00%
				2519 Health Services	25,737	13,500	18,662	5,162	38.24%
				2526 Contractor Support Services non-Federal	2,499,889	2,389,842	689,823	(1,700,019)	(71.14%)
				2535 Government Support Services	-	-	-	-	-
				2573 Software and Technical Support Services & M	3,275	-	7,750	7,750	100.00%
				2610 Office & Miscellaneous Supplies	83,160	25,500	85,000	59,500	233.33%
				2630 Subscriptions and Publications	-	-	-	-	-
				2633 Biohazard Supplies	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and M	-	-	-	-	-
				3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
				3194 Non-Capitalized Software	225	-	-	-	-
				OBIC-001 Total	2,873,993	2,731,540	3,410,034	678,494	24.84%
				OBIC Background Investigations & Credentialing Administration	2,873,993	2,731,540	3,410,034	678,494	24.84%
				OBIC Background Investigations & Credentialing Administration Total	2,873,993	2,731,540	3,410,034	678,494	24.84%
				Office of Background Investigations and Credentialing Total	2,873,993	2,731,540	3,410,034	678,494	24.84%
Office of Facilities & Logistics									
FMD Administration									
FMD Administration									
FMD-001									
				2110 Temporary Duty (TDY) Travel	-	1,700	1,700	-	-
				2111 Temp Travel Training	-	-	-	-	-
				2220 Transportation of Things	35,975	5,000	40,000	35,000	700.00%
				2310 Rental of Equipment	5,000	-	-	-	-
				2322 Rentals - Miscellaneous	-	-	-	-	-
				2512 External Training	-	10,500	16,000	5,500	52.38%
				2514 Internal Training Contractual Agreements	-	-	-	-	-
				2526 Contractor Support Services non-Federal	513,596	222,800	680,000	457,200	205.21%
				2535 Government Support Services	-	59,605	-	(59,605)	(100.00%)
				2549 Operations and Maintenance of Facilities	-	-	-	-	-
				2573 Software and Technical Support Services & M	-	10,000	10,000	-	-
				2610 Office & Miscellaneous Supplies	34,101	37,800	38,000	200	0.53%
				2630 Subscriptions and Publications	3,964	-	500	500	100.00%
				2699 Credit Card Disputes	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and M	680,307	223,400	445,000	221,600	99.19%
				3120 Capitalized Furniture, Equipment, and Machi	76,787	-	-	-	-
				3184 Capitalized Software	-	-	-	-	-
				3194 Non-Capitalized Software	-	-	-	-	-
				FMD-001 Total	1,349,729	570,805	1,231,200	660,395	115.70%
				FMD Administration Total	1,349,729	570,805	1,231,200	660,395	115.70%
				FMD Administration Total	1,349,729	570,805	1,231,200	660,395	115.70%
OFL Administration									
OFL Administration									
OFL-001									
				2110 Temporary Duty (TDY) Travel	1,000	-	-	-	-
				2111 Temp Travel Training	1,701	-	2,450	2,450	100.00%
				2512 External Training	-	-	1,050	1,050	100.00%
				2519 Health Services	-	-	-	-	-
				2526 Contractor Support Services non-Federal	93,271	-	100,000	100,000	100.00%
				2610 Office & Miscellaneous Supplies	-	9,500	9,500	-	-
				2699 Credit Card Disputes	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and M	-	-	-	-	-
				OFL-001 Total	95,971	9,500	113,000	103,500	1,089.47%
				OFL Administration Total	95,971	9,500	113,000	103,500	1,089.47%
				OFL Administration Total	95,971	9,500	113,000	103,500	1,089.47%
OSHE Occupational Safety Health and Environment Administration									

Program	Subprogram	Project	BOC	BOC Description	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change from FY20	
					\$	\$	\$	\$	%
OSHE Occupational Safety Health and Environment Administration									
OSHE-001									
				2111 Temp Travel Training	-	-	-	-	-
				2112 Local Travel	-	-	-	-	-
				2310 Rental of Equipment	-	-	-	-	-
				2315 Software Subscriptions	4,082	4,000	6,000	2,000	50.00%
				2510 Membership Fees	-	-	-	-	-
				2512 External Training	14,192	15,835	26,970	11,135	70.32%
				2519 Health Services	100,880	125,000	125,000	-	-
				2526 Contractor Support Services non-Federal	626,522	520,000	600,000	80,000	15.38%
				2535 Government Support Services	-	-	-	-	-
				2540 Miscellaneous Merchant and Vendor Service	19,315	21,000	21,000	-	-
				2610 Office & Miscellaneous Supplies	44,050	25,400	26,400	-	-
				2630 Subscriptions and Publications	-	500	-	(500)	(100.00%)
				2699 Credit Card Disputes	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and N	132,719	40,000	40,000	-	-
				OSHE-001 Total	941,760	752,735	845,370	92,635	12.31%
				OSHE Occupational Safety Health and Environment Administration	941,760	752,735	845,370	92,635	12.31%
				OSHE Occupational Safety Health and Environment Administration	941,760	752,735	845,370	92,635	12.31%
				PMD Administration					
				PMD Administration					
				PMD-001					
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	-	-	-	-	-
				2510 Membership Fees	-	-	-	-	-
				2512 External Training	26	-	-	-	-
				2610 Office & Miscellaneous Supplies	18,794	20,000	20,000	-	-
				2699 Credit Card Disputes	-	-	-	-	-
				PMD-001 Total	18,819	20,000	20,000	-	-
				PMD Administration Total	18,819	20,000	20,000	-	-
				PMD Administration Total	18,819	20,000	20,000	-	-
				PMD Logistics Support					
				PMD Logistics Support					
				PMD-100					
				2220 Transportation of Things	-	-	-	-	-
				2512 External Training	-	-	-	-	-
				2526 Contractor Support Services non-Federal	785,944	790,261	1,356,773	566,512	71.69%
				2528 Cleaning and Alteration Services	27,366	59,000	60,475	1,475	2.50%
				2540 Miscellaneous Merchant and Vendor Service	-	-	-	-	-
				2610 Office & Miscellaneous Supplies	120,897	50,000	55,000	5,000	10.00%
				2615 Provisions	66,095	56,350	72,608	16,258	28.85%
				2633 Biohazard Supplies	-	-	-	-	-
				2634 Controlled Explosives & Ammunition	1,425,486	1,608,571	1,705,192	96,621	6.01%
				2637 Law Enforcement Uniforms	2,968,034	1,993,114	2,039,287	46,173	2.32%
				3110 Non-Capitalized Furniture, Equipment, and N	332,225	70,298	35,149	(35,149)	(50.00%)
				3180 Weapons and Replacement Parts	703,086	640,589	906,175	265,586	41.46%
				3184 Capitalized Software	-	-	-	-	-
				PMD-100 Total	6,429,132	5,268,183	6,230,659	962,476	18.27%
				PMD Logistics Support Total	6,429,132	5,268,183	6,230,659	962,476	18.27%
				PMD Logistics Support Total	6,429,132	5,268,183	6,230,659	962,476	18.27%
				VMD Administration					
				VMD - Administration					
				VMD-001					
				2110 Temporary Duty (TDY) Travel	1,034	15,000	15,000	-	-
				2111 Temp Travel Training	10,000	15,350	15,350	-	-
				2112 Local Travel	5,000	-	-	-	-
				2322 Rentals - Miscellaneous	-	-	-	-	-
				2510 Membership Fees	499	1,000	1,000	-	-
				2512 External Training	10,907	24,750	28,700	3,950	15.96%
				2526 Contractor Support Services non-Federal	-	-	-	-	-
				2528 Cleaning and Alteration Services	16,466	23,000	23,000	-	-
				2610 Office & Miscellaneous Supplies	4,564	5,000	5,000	-	-
				2699 Credit Card Disputes	-	-	-	-	-
				VMD-001 Total	48,469	84,100	88,050	3,950	4.70%
				VMD - Administration Total	48,469	84,100	88,050	3,950	4.70%
				VMD Administration Total	48,469	84,100	88,050	3,950	4.70%

Program	Subprogram	Project	BOC	BOC Description	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change from FY20	
					\$	\$	\$	\$	%
VMD Fleet Management									
VMD - Fleet Management									
VMD-100									
				2120 Vehicle Rental	3,187,606	3,546,400	4,045,900	499,500	14.08%
				2310 Rental of Equipment	-	15,000	15,000	-	-
				2322 Rentals - Miscellaneous	10,410	-	-	-	-
				2526 Contractor Support Services non-Federal	-	-	-	-	-
				2529 Vehicle car Washing Services	-	-	-	-	-
				2535 Government Support Services	-	-	-	-	-
				2571 Vehicle Repair Services	243,740	250,000	250,000	-	-
				2621 Vehicle Supplies	209,555	200,000	200,000	-	-
				2622 Vehicle Fluid Supplies	8,794	20,000	20,000	-	-
				3110 Non-Capitalized Furniture, Equipment, and Machinery	382,357	187,000	-	(187,000)	(100.00%)
				3170 Non-Capitalized Vehicles	185,286	145,000	-	(145,000)	(100.00%)
				3171 Capitalized Vehicles	294,299	-	415,000	415,000	100.00%
				3175 Non-Capitalized Vehicle Accessories	412,825	200,000	200,000	-	-
				VMD-100 Total	4,934,873	4,583,400	5,145,900	582,500	12.76%
				VMD - Fleet Management Total	4,934,873	4,583,400	5,145,900	582,500	12.76%
				VMD Fleet Management Total	4,934,873	4,583,400	5,145,900	582,500	12.76%
				Office of Facilities & Logistics Total	13,818,754	11,268,723	13,674,179	2,405,456	21.35%
Office of Financial Management									
OFM Administration									
OFM-001									
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	2,816	2,000	6,000	4,000	200.00%
				2112 Local Travel	-	-	-	-	-
				2410 Printing and Binding	-	-	-	-	-
				2510 Membership Fees	-	-	-	-	-
				2512 External Training	4,645	16,510	14,150	(2,360)	(14.29%)
				2526 Contractor Support Services non-Federal	-	-	-	-	-
				2610 Office & Miscellaneous Supplies	6,674	4,590	7,000	2,410	52.51%
				2622 Vehicle Fluid Supplies	-	-	-	-	-
				2630 Subscriptions and Publications	2,813	4,000	5,000	1,000	25.00%
				3110 Non-Capitalized Furniture, Equipment, and Machinery	-	1,800	1,800	-	-
				3194 Non-Capitalized Software	-	-	-	-	-
				OFM-001 Total	16,949	28,900	33,950	5,050	17.47%
				OFM Administration Total	16,949	28,900	33,950	5,050	17.47%
				OFM Administration Total	16,949	28,900	33,950	5,050	17.47%
OFM Agency Services									
OFM Agency Services									
OFM-200									
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	-	-	-	-	-
				2310 Rental of Equipment	-	-	-	-	-
				2350 Postage and Fees	48,000	18,000	30,000	12,000	66.67%
				2510 Membership Fees	-	-	-	-	-
				2512 External Training	26,059	107,000	120,340	13,340	12.47%
				2526 Contractor Support Services non-Federal	914,063	377,868	508,000	130,132	34.44%
				2535 Government Support Services	-	31,500	36,500	5,000	15.87%
				2540 Miscellaneous Merchant and Vendor Services	-	-	-	-	-
				2541 Emergency Services - COOP	5,400	100,000	100,000	-	-
				2571 Vehicle Repair Services	-	-	-	-	-
				2610 Office & Miscellaneous Supplies	-	-	-	-	-
				2615 Provisions	-	-	-	-	-
				2622 Vehicle Fluid Supplies	131,500	175,000	175,000	-	-
				2630 Subscriptions and Publications	-	-	-	-	-
				2637 Law Enforcement Uniforms	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and Machinery	-	-	-	-	-
				3120 Capitalized Furniture, Equipment, and Machinery	-	-	-	-	-
				3171 Capitalized Vehicles	-	-	-	-	-
				3184 Capitalized Software	-	-	-	-	-
				3194 Non-Capitalized Software	-	-	-	-	-
				4210 Tort Claims and Awards	30,583	112,500	112,500	-	-
				OFM-200 Total	1,155,605	921,868	1,082,340	160,472	17.41%
				OFM Agency Services Total	1,155,605	921,868	1,082,340	160,472	17.41%

Program	Subprogram	Project	BOC	BOC Description	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change from FY20	
					\$	\$	\$	\$	%
OFM Inauguration Support									
OFM-204									
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2112 Local Travel	-	-	-	-	-
				2120 Vehicle Rental	-	-	90,444	90,444	100.00%
				2310 Rental of Equipment	-	-	-	-	-
				2322 Rentals - Miscellaneous	-	-	14,000	14,000	100.00%
				2410 Printing and Binding	-	-	-	-	-
				2526 Contractor Support Services non-Federal	-	2,220	5,550	3,330	150.00%
				2535 Government Support Services	-	-	221,000	221,000	100.00%
				2536 Government Support Services/TRNG	-	-	-	-	-
				2571 Vehicle Repair Services	-	-	-	-	-
				2610 Office & Miscellaneous Supplies	-	4,000	7,000	3,000	75.00%
				2615 Provisions	-	-	73,600	73,600	100.00%
				3110 Non-Capitalized Furniture, Equipment, and M	-	167,770	11,185	(156,585)	(93.33%)
				3194 Non-Capitalized Software	-	1,500	-	(1,500)	(100.00%)
				OFM-204 Total	-	175,490	422,779	247,289	140.91%
				OFM Inauguration Support Total	-	175,490	422,779	247,289	140.91%
				OFM Agency Services Total	1,155,605	1,097,358	1,505,119	407,761	37.16%
OFM Financial Management & Accountability									
Financial Systems									
OFM-101									
				2512 External Training	-	-	-	-	-
				2526 Contractor Support Services non-Federal	28,565	370,000	325,000	(45,000)	(12.16%)
				2535 Government Support Services	340,527	125,000	275,000	150,000	120.00%
				3110 Non-Capitalized Furniture, Equipment, and M	-	-	-	-	-
				3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
				3184 Capitalized Software	-	-	-	-	-
				3194 Non-Capitalized Software	-	-	-	-	-
				OFM-101 Total	369,091	495,000	600,000	105,000	21.21%
				Financial Systems Total	369,091	495,000	600,000	105,000	21.21%
OFM Contractual Support									
OFM-102									
				2526 Contractor Support Services non-Federal	522,782	585,020	972,085	387,065	66.16%
				2535 Government Support Services	-	-	-	-	-
				OFM-102 Total	522,782	585,020	972,085	387,065	66.16%
				OFM Contractual Support Total	522,782	585,020	972,085	387,065	66.16%
				OFM Financial Management & Accountability Total	891,873	1,080,020	1,572,085	492,065	45.56%
				Office of Financial Management Total	2,064,428	2,206,273	3,111,154	904,876	41.01%
Office of General Counsel									
OGC Administration									
OEC Administration									
OEC-001									
				2110 Temporary Duty (TDY) Travel	35	2,000	2,100	100	5.00%
				2111 Temp Travel Training	-	6,084	5,521	(563)	(9.25%)
				2315 Software Subscriptions	555	1,000	1,200	200	20.00%
				2410 Printing and Binding	-	2,500	3,000	500	20.00%
				2512 External Training	389	20,372	25,126	4,754	23.34%
				2513 Management Development	-	-	-	-	-
				2526 Contractor Support Services non-Federal	140,648	119,927	132,461	12,534	10.45%
				2610 Office & Miscellaneous Supplies	5,865	6,000	6,000	-	-
				2615 Provisions	-	-	-	-	-
				2630 Subscriptions and Publications	5,381	2,500	4,000	1,500	60.00%
				2699 Credit Card Disputes	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and M	-	-	-	-	-
				OEC-001 Total	152,873	160,383	179,408	19,025	11.86%
				OEC Administration Total	152,873	160,383	179,408	19,025	11.86%
OGC Legal Services									
OGC-100									
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	-	-	-	-	-
				2315 Software Subscriptions	-	-	-	-	-
				2410 Printing and Binding	-	-	-	-	-
				2440 Advertising & Recruiting	489	1,851	1,897	46	2.49%
				2512 External Training	-	4,855	3,267	(1,588)	(32.71%)
				2526 Contractor Support Services non-Federal	64,652	78,414	87,581	9,167	11.69%

Program	Subprogram	Project	BOC	BOC Description	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change from FY20	
					\$	\$	\$	\$	%
				2510 Office & Miscellaneous Supplies	2,986	4,289	4,396	107	2.49%
				2630 Subscriptions and Publications	19,162	20,106	20,118	12	0.06%
				3110 Non-Capitalized Furniture, Equipment, and Machinery	-	-	-	-	-
				OGC-100 Total	87,289	109,515	117,259	7,744	7.07%
				OGC Legal Services Total	87,289	109,515	117,259	7,744	7.07%
				OGC Administration Total	240,162	269,898	296,667	26,769	9.92%
				Office of General Counsel Total	240,162	269,898	296,667	26,769	9.92%
				Office of Human Resources					
				OHR HCRC Administration					
				OHR HCRC Administration					
				HCRC-001					
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	-	-	-	-	-
				2410 Printing and Binding	-	-	-	-	-
				2510 Membership Fees	-	-	-	-	-
				2512 External Training	39,181	6,500	17,177	10,677	164.26%
				2526 Contractor Support Services non-Federal	388,851	421,532	631,570	210,038	49.83%
				2610 Office & Miscellaneous Supplies	945	1,000	1,000	-	-
				2630 Subscriptions and Publications	-	-	-	-	-
				2699 Credit Card Disputes	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and Machinery	-	-	-	-	-
				HCRC-001 Total	428,977	429,032	649,747	220,715	51.44%
				OHR HCRC Administration Total	428,977	429,032	649,747	220,715	51.44%
				OHR HCRC Recruitment					
				HCRC-002					
				2110 Temporary Duty (TDY) Travel	-	4,000	-	(4,000)	(100.00%)
				2111 Temp Travel Training	14,991	-	1,800	1,800	100.00%
				2315 Software Subscriptions	-	-	-	-	-
				2410 Printing and Binding	-	-	-	-	-
				2440 Advertising & Recruiting	-	-	-	-	-
				2510 Membership Fees	-	-	-	-	-
				2512 External Training	-	-	8,485	8,485	100.00%
				2517 Applicant Testing	-	-	-	-	-
				2519 Health Services	40,966	-	109,980	109,980	100.00%
				2526 Contractor Support Services non-Federal	2,500,050	2,522,004	2,383,486	(138,518)	(5.49%)
				2535 Government Support Services	115,476	147,378	122,226	(25,152)	(17.07%)
				2610 Office & Miscellaneous Supplies	29,129	20,000	24,000	4,000	20.00%
				2630 Subscriptions and Publications	-	1,500	-	(1,500)	(100.00%)
				3110 Non-Capitalized Furniture, Equipment, and Machinery	-	-	-	-	-
				3120 Capitalized Furniture, Equipment, and Machinery	-	-	-	-	-
				3194 Non-Capitalized Software	-	-	-	-	-
				HCRC-002 Total	2,700,613	2,694,882	2,649,977	(44,905)	(1.67%)
				OHR HCRC Recruitment Total	2,700,613	2,694,882	2,649,977	(44,905)	(1.67%)
				OHR HCRC Systems					
				HCRC-004					
				2315 Software Subscriptions	37,616	46,000	39,179	(6,821)	(14.83%)
				2526 Contractor Support Services non-Federal	-	-	-	-	-
				3184 Capitalized Software	-	-	-	-	-
				HCRC-004 Total	37,616	46,000	39,179	(6,821)	(14.83%)
				OHR HCRC Systems Total	37,616	46,000	39,179	(6,821)	(14.83%)
				OHR HCRC Administration Total	3,167,206	3,169,914	3,338,903	168,989	5.33%
				OHR HRIS Administration					
				OHR HRIS Administration					
				HRIS-100					
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	-	-	-	-	-
				2410 Printing and Binding	-	-	-	-	-
				2510 Membership Fees	-	-	-	-	-
				2512 External Training	-	-	10,330	10,330	100.00%
				2526 Contractor Support Services non-Federal	-	-	228,134	228,134	100.00%
				2610 Office & Miscellaneous Supplies	-	-	-	-	-
				2630 Subscriptions and Publications	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and Machinery	-	-	-	-	-
				3120 Capitalized Furniture, Equipment, and Machinery	-	-	-	-	-
				HRIS-100 Total	-	-	238,464	238,464	100.00%
				OHR HRIS Administration Total	-	-	238,464	238,464	100.00%

Program	Subprogram	Project	BOC	BOC Description	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change from FY20	
					\$	\$	\$	\$	%
OHR HRIS Systems									
HRIS-103									
				2315 Software Subscriptions	8,000	8,000	8,739	739	9.24%
				2512 External Training	-	-	-	-	-
				2526 Contractor Support Services non-Federal	33,704	-	-	-	-
				2535 Government Support Services	586,096	619,800	597,686	(22,114)	(3.57%)
				3194 Non-Capitalized Software	-	-	-	-	-
				HRIS-103 Total	627,800	627,800	606,425	(21,375)	(3.40%)
				OHR HRIS Systems Total	627,800	627,800	606,425	(21,375)	(3.40%)
				OHR HRIS Administration Total	627,800	627,800	844,889	217,089	34.58%
				Office of Human Resources Total	3,795,066	3,797,714	4,183,792	386,078	10.17%
Office of Inclusion, Diversity, Equity, and Action									
IDEA Administration									
IDEA Administration									
IDEA-001									
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	17,889	26,100	62,031	35,931	137.67%
				2315 Software Subscriptions	-	-	5,000	5,000	100.00%
				2410 Printing and Binding	-	-	8,000	8,000	100.00%
				2510 Membership Fees	-	-	-	-	-
				2512 External Training	11,380	13,900	18,555	4,655	33.49%
				2513 Management Development	-	-	-	-	-
				2514 Internal Training Contractual Agreements	650	-	-	-	-
				2526 Contractor Support Services non-Federal	62,745	67,084	185,959	118,875	177.20%
				2535 Government Support Services	120	-	-	-	-
				2610 Office & Miscellaneous Supplies	2,671	-	5,000	5,000	100.00%
				2630 Subscriptions and Publications	-	-	1,000	1,000	100.00%
				3110 Non-Capitalized Furniture, Equipment, and N	-	-	-	-	-
				3194 Non-Capitalized Software	-	-	-	-	-
				IDEA-001 Total	95,455	107,084	285,545	178,461	166.66%
				IDEA Administration Total	95,455	107,084	285,545	178,461	166.66%
				IDEA Administration Total	95,455	107,084	285,545	178,461	166.66%
				Office of Inclusion, Diversity, Equity, and Action Total	95,455	107,084	285,545	178,461	166.66%
Office of Information Systems									
OIS Administration									
OIS Administration									
OIS-010									
				2110 Temporary Duty (TDY) Travel	3,561	12,000	-	(12,000)	(100.00%)
				2111 Temp Travel Training	39,261	68,445	31,100	(37,345)	(54.56%)
				2512 External Training	59,544	124,065	110,955	(13,110)	(10.57%)
				2526 Contractor Support Services non-Federal	538,323	511,059	573,759	62,700	12.27%
				2573 Software and Technical Support Services & N	-	-	-	-	-
				2610 Office & Miscellaneous Supplies	4,962	5,500	5,980	480	8.73%
				2630 Subscriptions and Publications	-	-	-	-	-
				2699 Credit Card Disputes	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and N	-	3,974	-	(3,974)	(100.00%)
				3184 Capitalized Software	-	-	-	-	-
				3194 Non-Capitalized Software	-	-	-	-	-
				OIS-010 Total	645,653	725,043	721,794	(3,249)	(0.45%)
				OIS Administration Total	645,653	725,043	721,794	(3,249)	(0.45%)
				OIS Administration Total	645,653	725,043	721,794	(3,249)	(0.45%)
OIS Enterprise Applications & Management									
Enterprise Business Applications									
OIS-210									
				2111 Temp Travel Training	-	-	-	-	-
				2315 Software Subscriptions	-	-	-	-	-
				2440 Advertising & Recruiting	-	-	-	-	-
				2526 Contractor Support Services non-Federal	-	-	-	-	-
				2535 Government Support Services	596,791	-	-	-	-
				2573 Software and Technical Support Services & N	372,730	857,652	1,010,621	152,969	17.84%
				3110 Non-Capitalized Furniture, Equipment, and N	106,970	-	-	-	-
				3184 Capitalized Software	-	-	-	-	-
				3194 Non-Capitalized Software	129,539	-	-	-	-
				OIS-210 Total	1,206,029	857,652	1,010,621	152,969	17.84%
				Enterprise Business Applications Total	1,206,029	857,652	1,010,621	152,969	17.84%
Law Enforcement Information Systems/Tech									

Program	Subprogram	Project	BOC	BOC Description	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change from FY20	
					\$	\$	\$	\$	%
OIS-220									
				2111 Temp Travel Training	-	-	-	-	-
				2315 Software Subscriptions	71,842	71,594	72,400	806	1.13%
				2526 Contractor Support Services non-Federal	579,831	294,759	210,240	(84,519)	(28.67%)
				2535 Government Support Services	-	-	1,382	1,382	100.00%
				2573 Software and Technical Support Services & N	403,413	322,445	908,156	585,711	181.65%
				2610 Office & Miscellaneous Supplies	-	-	-	-	-
				2630 Subscriptions and Publications	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and N	47,928	55,650	14,911	(40,739)	(73.21%)
				3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
				3194 Non-Capitalized Software	8,966	-	-	-	-
				OIS-220 Total	1,111,980	744,448	1,207,089	462,641	62.15%
				Law Enforcement Information Systems/Tech Total	1,111,980	744,448	1,207,089	462,641	62.15%
				Web /PoliceNet					
				OIS-240					
				2111 Temp Travel Training	-	-	-	-	-
				2526 Contractor Support Services non-Federal	981,105	475,000	1,039,989	564,989	118.95%
				2573 Software and Technical Support Services & N	-	8,000	35,963	27,963	349.54%
				3110 Non-Capitalized Furniture, Equipment, and N	-	-	-	-	-
				3194 Non-Capitalized Software	-	-	-	-	-
				OIS-240 Total	981,105	483,000	1,075,952	592,952	122.76%
				Web /PoliceNet Total	981,105	483,000	1,075,952	592,952	122.76%
				OIS Enterprise Applications & Management Total	3,299,114	2,085,100	3,293,662	1,208,562	57.96%
				OIS Information Security					
				OIS Information Assurance / Privacy/Network Defense					
				OIS-410					
				2111 Temp Travel Training	-	-	-	-	-
				2512 External Training	-	-	-	-	-
				2526 Contractor Support Services non-Federal	1,072,589	845,000	1,110,000	265,000	31.36%
				2535 Government Support Services	45,000	-	48,000	48,000	100.00%
				2540 Miscellaneous Merchant & Vendor Services	-	-	-	-	-
				2573 Software and Technical Support Services & M	394,149	731,500	588,427	(143,073)	(19.56%)
				3110 Non-Capitalized Furniture, Equipment, and N	-	200,000	50,000	(150,000)	(75.00%)
				3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
				3184 Capitalized Software	-	-	-	-	-
				3194 Non-Capitalized Software	183,219	-	221,148	221,148	100.00%
				OIS-410 Total	1,694,957	1,776,500	2,017,575	241,075	13.57%
				OIS Information Assurance / Privacy/Network Defense Total	1,694,957	1,776,500	2,017,575	241,075	13.57%
				OIS Information Security Total	1,694,957	1,776,500	2,017,575	241,075	13.57%
				OIS Project Management & Governance					
				OIS Project Management Office & Enterprise Architecture					
				OIS-160					
				2111 Temp Travel Training	-	-	-	-	-
				2526 Contractor Support Services non-Federal	1,373,983	1,849,941	1,916,714	66,773	3.61%
				2573 Software and Technical Support Services & M	21,198	30,469	424,021	393,552	1,291.65%
				3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
				3184 Capitalized Software	-	-	-	-	-
				3194 Non-Capitalized Software	137,435	-	-	-	-
				OIS-160 Total	1,532,617	1,880,410	2,340,735	460,325	24.48%
				OIS Project Management Office & Enterprise Architecture Total	1,532,617	1,880,410	2,340,735	460,325	24.48%
				OIS Project Management & Governance Total	1,532,617	1,880,410	2,340,735	460,325	24.48%
				OIS Radio Services					
				Radio Communications					
				OIS-320					
				2110 Temporary Duty (TDY) Travel	1,713	30,000	15,000	(15,000)	(50.00%)
				2111 Temp Travel Training	940	-	-	-	-
				2334 Local Telecommunications	1,329,935	882,000	918,000	36,000	4.08%
				2335 Rental of Telecommunications Equipment	-	60,000	-	(60,000)	(100.00%)
				2526 Contractor Support Services non-Federal	608,293	1,108,200	559,000	(549,200)	(49.56%)
				2535 Government Support Services	118,649	-	60,000	60,000	100.00%
				2573 Software and Technical Support Services & N	1,966,592	1,250,000	1,974,907	724,907	57.99%
				3110 Non-Capitalized Furniture, Equipment, and N	1,168,631	723,000	1,025,000	302,000	41.77%
				3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
				3194 Non-Capitalized Software	29,794	-	-	-	-
				OIS-320 Total	5,224,548	4,053,200	4,551,907	498,707	12.30%
				Radio Communications Total	5,224,548	4,053,200	4,551,907	498,707	12.30%

Program	Subprogram	Project	BOC	BOC Description	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change from FY20	
					\$	\$	\$	\$	%
				OIS Radio Services Total	5,224,548	4,053,200	4,561,907	498,707	12.30%
				OIS Systems Operations					
				Customer Support					
				OIS-110					
				2111 Temp Travel Training	-	-	-	-	-
				2526 Contractor Support Services non-Federal	2,379,346	2,382,101	2,156,459	(225,642)	(9.47%)
				2573 Software and Technical Support Services & N	8,988	6,600	73,640	67,040	1,015.76%
				OIS-110 Total	2,388,334	2,388,701	2,230,099	(158,602)	(6.64%)
				Customer Support Total	2,388,334	2,388,701	2,230,099	(158,602)	(6.64%)
				E-Mail, Operating Systems & Office Productivity Software					
				OIS-130					
				2111 Temp Travel Training	-	-	-	-	-
				2120 Vehicle Rental	-	-	-	-	-
				2526 Contractor Support Services non-Federal	8,500	-	56,000	56,000	100.00%
				2573 Software and Technical Support Services & N	423,805	435,446	439,170	3,724	0.86%
				3110 Non-Capitalized Furniture, Equipment, and N	1,900	-	-	-	-
				3184 Capitalized Software	-	-	-	-	-
				3194 Non-Capitalized Software	19,206	44,660	20,000	(24,660)	(55.22%)
				OIS-130 Total	453,411	480,106	515,170	35,064	7.30%
				E-Mail, Operating Systems & Office Productivity Software Total	453,411	480,106	515,170	35,064	7.30%
				OIS IT Hardware Support & Administration (Server/PC/Laptop/etc.)					
				OIS-140					
				2111 Temp Travel Training	-	-	-	-	-
				2310 Rental of Equipment	-	7,810	7,000	(810)	(10.37%)
				2526 Contractor Support Services non-Federal	636,879	13,200	-	(13,200)	(100.00%)
				2573 Software and Technical Support Services & N	367,943	263,792	314,700	50,908	19.30%
				3110 Non-Capitalized Furniture, Equipment, and N	732,744	1,040,003	655,000	(385,003)	(37.02%)
				3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
				3184 Capitalized Software	-	-	-	-	-
				3194 Non-Capitalized Software	131,235	-	-	-	-
				OIS-140 Total	1,868,801	1,324,805	976,700	(348,105)	(26.28%)
				OIS IT Hardware Support & Administration (Server/PC/Laptop/e	1,868,801	1,324,805	976,700	(348,105)	(26.28%)
				OIS Systems Operations Total	4,710,546	4,193,612	3,721,969	(471,643)	(11.25%)
				OIS Voice & Data Services					
				Data Networks					
				OIS-310					
				2111 Temp Travel Training	-	-	-	-	-
				2334 Local Telecommunications	376,132	340,641	382,756	42,115	12.36%
				2526 Contractor Support Services non-Federal	1,626,417	1,350,000	1,400,000	50,000	3.70%
				2573 Software and Technical Support Services & N	358,794	339,798	391,600	51,802	15.24%
				3110 Non-Capitalized Furniture, Equipment, and N	1,796,411	650,000	450,000	(200,000)	(30.77%)
				3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
				3184 Capitalized Software	-	-	-	-	-
				3194 Non-Capitalized Software	82,218	-	-	-	-
				OIS-310 Total	4,239,972	2,680,439	2,624,356	(56,083)	(2.09%)
				Data Networks Total	4,239,972	2,680,439	2,624,356	(56,083)	(2.09%)
				Database/Storage					
				OIS-120					
				2111 Temp Travel Training	-	-	-	-	-
				2510 Membership Fees	130	-	-	-	-
				2526 Contractor Support Services non-Federal	-	-	-	-	-
				2573 Software and Technical Support Services & N	202,374	210,380	230,000	19,620	9.33%
				3110 Non-Capitalized Furniture, Equipment, and N	258,973	-	125,000	125,000	100.00%
				3120 Capitalized Furniture, Equipment, and Machi	-	250,000	-	(250,000)	(100.00%)
				OIS-120 Total	461,477	460,380	355,000	(105,380)	(22.89%)
				Database/Storage Total	461,477	460,380	355,000	(105,380)	(22.89%)
				Secure Communications					
				OIS-390					
				2110 Temporary Duty (TDY) Travel	-	7,500	15,000	7,500	100.00%
				2526 Contractor Support Services non-Federal	-	-	-	-	-
				2573 Software and Technical Support Services & N	-	-	6,000	6,000	100.00%
				3110 Non-Capitalized Furniture, Equipment, and N	372,506	415,000	324,800	(90,200)	(21.73%)
				3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
				3184 Capitalized Software	-	-	-	-	-
				3194 Non-Capitalized Software	-	-	-	-	-
				OIS-390 Total	372,506	422,500	345,800	(76,700)	(18.15%)

Program	Subprogram	Project	BOC	BOC Description	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change from FY20	
					\$	\$	\$	\$	%
				Secure Communications Total	372,506	422,500	345,800	(76,700)	(18.15%)
				Telephony/VTC					
				OIS-330					
				2334 Local Telecommunications	215,962	219,650	280,426	60,776	27.67%
				2526 Contractor Support Services non-Federal	-	25,000	-	(25,000)	(100.00%)
				2573 Software and Technical Support Services & M	28,475	2,500	29,000	26,500	1,060.00%
				3110 Non-Capitalized Furniture, Equipment, and M	269,958	225,000	69,000	(156,000)	(69.33%)
				3194 Non-Capitalized Software	-	-	-	-	-
				OIS-330 Total	514,395	472,150	378,426	(93,724)	(19.85%)
				Telephony/VTC Total	514,395	472,150	378,426	(93,724)	(19.85%)
				Wireless/BB Comms					
				OIS-340					
				2334 Local Telecommunications	1,106,868	1,317,000	1,288,000	(29,000)	(2.20%)
				2526 Contractor Support Services non-Federal	433,379	440,000	455,000	15,000	3.41%
				2573 Software and Technical Support Services & M	180,731	202,605	244,299	41,694	20.58%
				3110 Non-Capitalized Furniture, Equipment, and M	38,341	70,000	56,000	(14,000)	(20.00%)
				3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
				3194 Non-Capitalized Software	-	-	-	-	-
				OIS-340 Total	1,759,319	2,029,605	2,043,299	13,694	0.67%
				Wireless/BB Comms Total	1,759,319	2,029,605	2,043,299	13,694	0.67%
				Wiring & Fiber Plant					
				OIS-350					
				2120 Vehicle Rental	-	-	-	-	-
				2335 Rental of Telecommunications Equipment	-	-	-	-	-
				2526 Contractor Support Services non-Federal	1,620,000	1,527,500	1,618,000	90,500	5.92%
				2573 Software and Technical Support Services & M	47,500	65,000	73,000	8,000	12.31%
				3110 Non-Capitalized Furniture, Equipment, and M	505,610	580,000	500,000	(80,000)	(13.79%)
				3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
				OIS-350 Total	2,173,110	2,172,500	2,191,000	18,500	0.85%
				Wiring & Fiber Plant Total	2,173,110	2,172,500	2,191,000	18,500	0.85%
				OIS Voice & Data Services Total	9,520,780	8,237,574	7,937,881	(299,693)	(3.64%)
				Office of Information Systems Total	26,628,213	22,951,439	24,585,523	1,634,084	7.12%
				Office of Inspector General					
				OIG Administration					
				OIG Administration					
				OIG-001					
				2110 Temporary Duty (TDY) Travel	-	8,000	8,000	-	-
				2111 Temp Travel Training	-	-	-	-	-
				2350 Postage and Fees	-	-	-	-	-
				2410 Printing and Binding	-	5,000	5,000	-	-
				2510 Membership Fees	-	-	-	-	-
				2512 External Training	4,578	-	-	-	-
				2526 Contractor Support Services non-Federal	420,641	429,500	429,500	-	-
				2535 Government Support Services	-	-	-	-	-
				2540 Miscellaneous Merchant and Vendor Service	-	-	-	-	-
				2573 Software and Technical Support Services & M	-	-	-	-	-
				2610 Office & Miscellaneous Supplies	1,207	10,000	10,000	-	-
				2630 Subscriptions and Publications	-	-	-	-	-
				2699 Credit Card Disputes	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and M	-	-	-	-	-
				OIG-001 Total	426,426	452,500	452,500	-	-
				OIG Administration Total	426,426	452,500	452,500	-	-
				OIG Administration Total	426,426	452,500	452,500	-	-
				Office of Inspector General Total	426,426	452,500	452,500	-	-
				Office of Policy & Management Systems					
				OPOL Administration					
				OPOL Administration					
				OPOL-001					
				2110 Temporary Duty (TDY) Travel	3,811	-	4,400	4,400	100.00%
				2111 Temp Travel Training	-	-	3,900	3,900	100.00%
				2112 Local Travel	-	-	-	-	-
				2410 Printing and Binding	-	-	-	-	-
				2510 Membership Fees	8,570	8,340	11,070	2,730	32.73%
				2512 External Training	2,195	-	-	-	-
				2526 Contractor Support Services non-Federal	55,242	57,600	115,200	57,600	100.00%
				2535 Government Support Services	-	-	-	-	-

Program	Subprogram	Project	BOC	BOC Description	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change from FY20	
					\$	\$	\$	\$	%
				2540 Miscellaneous Merchant & Vendor Services	-	-	-	-	-
				2610 Office & Miscellaneous Supplies	2,096	2,000	2,000	-	-
				2630 Subscriptions and Publications	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and In	677	400	-	(400)	(100.00%)
				3194 Non-Capitalized Software	-	-	-	-	-
				OPOL-001 Total	72,591	68,340	136,570	68,230	99.84%
				OPOL Administration Total	72,591	68,340	136,570	68,230	99.84%
				OPOL Administration Total	72,591	68,340	136,570	68,230	99.84%
				Office of Policy & Management Systems Total	72,591	68,340	136,570	68,230	99.84%
				Office of Professional Responsibility					
				OPR Administration					
				OPR Administration					
				OPR-001					
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	11,256	28,213	13,506	(14,707)	(52.13%)
				2350 Postage and Fees	-	-	-	-	-
				2410 Printing and Binding	-	-	-	-	-
				2512 External Training	3,975	13,452	12,825	(627)	(4.66%)
				2526 Contractor Support Services non-Federal	-	3,000	-	(3,000)	(100.00%)
				2536 Government Support Services/TRNG	-	-	1,252	1,252	100.00%
				2610 Office & Miscellaneous Supplies	1,239	6,000	6,000	-	-
				2615 Provisions	885	-	3,000	3,000	100.00%
				2630 Subscriptions and Publications	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and In	-	-	-	-	-
				OPR-001 Total	17,355	50,665	36,583	(14,082)	(27.79%)
				OPR Administration Total	17,355	50,665	36,583	(14,082)	(27.79%)
				OPR Administration Total	17,355	50,665	36,583	(14,082)	(27.79%)
				Office of Professional Responsibility Total	17,355	50,665	36,583	(14,082)	(27.79%)
				Operational Services Bureau					
				OSB Administration					
				OSB Administration					
				OSB-001					
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	-	-	-	-	-
				2120 Vehicle Rental	-	-	-	-	-
				2512 External Training	-	-	-	-	-
				2526 Contractor Support Services non-Federal	-	-	-	-	-
				2535 Government Support Services	-	-	-	-	-
				2610 Office & Miscellaneous Supplies	1,044	1,800	1,538	(262)	(14.56%)
				2634 Controlled Explosives & Ammunition	-	-	-	-	-
				2699 Credit Card Disputes	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and In	-	-	-	-	-
				OSB-001 Total	1,044	1,800	1,538	(262)	(14.56%)
				OSB Administration Total	1,044	1,800	1,538	(262)	(14.56%)
				OSB Administration Total	1,044	1,800	1,538	(262)	(14.56%)
				OSB Hazardous Incident Response					
				OSB Hazardous Devices					
				OSB-200					
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	65,912	102,288	106,500	4,212	4.12%
				2512 External Training	89,458	103,023	92,871	(10,152)	(9.85%)
				2526 Contractor Support Services non-Federal	-	-	-	-	-
				2535 Government Support Services	-	-	-	-	-
				2540 Miscellaneous Merchant & Vendor Services	13,036	81,880	89,020	7,140	8.72%
				2610 Office & Miscellaneous Supplies	51,340	79,884	69,900	(9,984)	(12.50%)
				2615 Provisions	509	780	780	-	-
				2620 System Supplies and Materials	-	-	-	-	-
				2630 Subscriptions and Publications	-	-	-	-	-
				2634 Controlled Explosives & Ammunition	-	15,000	15,000	-	-
				2637 Law Enforcement Uniforms	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and In	178,804	25,912	52,480	26,568	102.53%
				3120 Capitalized Furniture, Equipment, and Machi	203,364	90,000	-	(90,000)	(100.00%)
				3180 Weapons and Replacement Parts	1,637	-	-	-	-
				OSB-200 Total	604,059	498,767	428,551	(72,216)	(14.48%)
				OSB Hazardous Devices Total	604,059	498,767	428,551	(72,216)	(14.48%)
				OSB Hazardous Materials					

Program	Subprogram	Project	BOC	BOC Description	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change from FY20	
					\$	\$	\$	\$	%
OSB-201									
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	30,959	27,850	12,900	(14,950)	(53.68%)
				2510 Membership Fees	-	500	3,000	2,500	500.00%
				2512 External Training	110,368	122,000	85,900	(36,100)	(29.59%)
				2514 Internal Training Contractual Agreements	-	-	-	-	-
				2519 Health Services	-	-	-	-	-
				2526 Contractor Support Services non-Federal	-	-	-	-	-
				2535 Government Support Services	-	-	-	-	-
				2540 Miscellaneous Merchant & Vendor Services	43,123	55,702	68,195	12,493	22.43%
				2610 Office & Miscellaneous Supplies	56,294	31,100	45,350	14,250	45.82%
				2615 Provisions	538	780	780	-	-
				2620 System Supplies and Materials	16,989	10,000	16,500	6,500	65.00%
				2630 Subscriptions and Publications	2,139	-	-	-	-
				2633 Biohazard Supplies	19,442	31,372	30,550	(822)	(2.62%)
				2699 Credit Card Disputes	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and N	144,411	40,000	110,150	70,150	175.38%
				3120 Capitalized Furniture, Equipment, and Machi	143,456	60,000	100,000	40,000	66.67%
				OSB-201 Total	567,718	379,304	473,325	94,021	24.79%
				OSB Hazardous Materials Total	567,718	379,304	473,325	94,021	24.79%
				OSB Hazardous Incident Response Total	1,171,778	878,071	899,876	21,805	2.48%
				OSB Patrol Mobile Response					
				OSB CERT					
				OSB-103					
				2111 Temp Travel Training	52,377	43,450	83,530	40,080	92.24%
				2510 Membership Fees	1,150	1,800	2,870	1,070	59.44%
				2512 External Training	200,615	200,551	211,836	11,285	5.63%
				2540 Miscellaneous Merchant & Vendor Services	-	-	-	-	-
				2610 Office & Miscellaneous Supplies	6,542	59,000	35,837	(23,163)	(39.26%)
				2630 Subscriptions and Publications	-	52	55	3	5.77%
				2637 Law Enforcement Uniforms	19,838	-	-	-	-
				2699 Credit Card Disputes	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and N	130,664	65,000	137,634	72,634	111.74%
				3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
				3180 Weapons and Replacement Parts	-	81,000	-	(81,000)	(100.00%)
				OSB-103 Total	411,184	450,853	471,762	20,909	4.64%
				OSB CERT Total	411,184	450,853	471,762	20,909	4.64%
				OSB K-9 Unit					
				OSB-100					
				2110 Temporary Duty (TDY) Travel	2,981	3,800	-	(3,800)	(100.00%)
				2111 Temp Travel Training	-	-	-	-	-
				2510 Membership Fees	-	300	450	150	50.00%
				2512 External Training	-	8,400	-	(8,400)	(100.00%)
				2526 Contractor Support Services non-Federal	1,112	1,320	1,391	71	5.38%
				2527 Veterinary Services	45,715	56,000	66,500	10,500	18.75%
				2540 Miscellaneous Merchant & Vendor Services	-	-	-	-	-
				2610 Office & Miscellaneous Supplies	991	1,000	1,025	25	2.50%
				2630 Subscriptions and Publications	-	-	-	-	-
				2632 K-9 Supplies	43,815	62,120	66,301	4,181	6.73%
				2634 Controlled Explosives & Ammunition	618	500	500	-	-
				3110 Non-Capitalized Furniture, Equipment, and N	139,708	80,580	116,811	36,231	44.96%
				OSB-100 Total	234,940	214,020	252,978	38,958	18.20%
				OSB K-9 Unit Total	234,940	214,020	252,978	38,958	18.20%
				OSB Offsite Delivery					
				OSB-101					
				2120 Vehicle Rental	-	-	-	-	-
				2526 Contractor Support Services non-Federal	-	-	-	-	-
				2540 Miscellaneous Merchant & Vendor Services	2,391	4,500	1,392	(3,108)	(69.07%)
				2610 Office & Miscellaneous Supplies	11,692	18,945	15,172	(3,773)	(19.92%)
				3110 Non-Capitalized Furniture, Equipment, and N	1,028	2,772	1,500	(1,272)	(45.89%)
				OSB-101 Total	15,112	26,217	18,064	(8,153)	(31.10%)
				OSB Offsite Delivery Total	15,112	26,217	18,064	(8,153)	(31.10%)
				OSB Patrol Mobile Response					
				OSB-102					
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	19,511	36,377	38,339	1,962	5.39%

Program	Subprogram	Project	BOC	BOC Description	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change from FY20	
					\$	\$	\$	\$	%
				2510 Membership Fees	-	-	-	-	-
				2512 External Training	63,407	110,083	108,349	(1,734)	(1.58%)
				2526 Contractor Support Services non-Federal	-	-	-	-	-
				2535 Government Support Services	-	-	-	-	-
				2540 Miscellaneous Merchant & Vendor Services	218	16,000	26,893	10,893	68.08%
				2610 Office & Miscellaneous Supplies	30,273	24,932	26,718	1,786	7.16%
				2630 Subscriptions and Publications	-	-	-	-	-
				2634 Controlled Explosives & Ammunition	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and N	6,356	25,350	2,798	(22,552)	(88.96%)
				3120 Capitalized Furniture, Equipment, and Machi	-	-	57,209	57,209	100.00%
				3194 Non-Capitalized Software	1,050	1,217	6,788	5,571	457.76%
				OSB-102 Total	120,815	213,959	267,094	53,135	24.83%
				OSB Patrol Mobile Response Total	120,815	213,959	267,094	53,135	24.83%
				OSB Patrol Mobile Response Total	782,051	905,049	1,009,898	104,849	11.58%
				Operational Services Bureau Total	1,954,873	1,784,920	1,911,312	126,392	7.08%
				Protective Services Bureau					
				PSB Administration					
				PSB Administration					
				PSB-001					
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	-	-	-	-	-
				2334 Local Telecommunications	1,005	3,042	-	(3,042)	(100.00%)
				2512 External Training	475	-	-	-	-
				2526 Contractor Support Services non-Federal	56,736	150,000	155,902	5,902	3.93%
				2610 Office & Miscellaneous Supplies	6,695	22,815	23,713	898	3.94%
				2699 Credit Card Disputes	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and N	-	-	-	-	-
				PSB-001 Total	64,911	175,857	179,615	3,758	2.14%
				PSB Administration Total	64,911	175,857	179,615	3,758	2.14%
				PSB Administration Total	64,911	175,857	179,615	3,758	2.14%
				PSB Intelligence Analysis					
				PSB Intelligence Analysis					
				PSB-102					
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	-	-	-	-	-
				2510 Membership Fees	-	-	-	-	-
				2512 External Training	-	-	-	-	-
				2514 Internal Training Contractual Agreements	-	-	-	-	-
				2526 Contractor Support Services non-Federal	-	-	-	-	-
				2535 Government Support Services	-	-	-	-	-
				2540 Miscellaneous Merchant & Vendor Services	-	-	-	-	-
				2573 Software and Technical Support Services & N	-	-	-	-	-
				2610 Office & Miscellaneous Supplies	-	-	2,000	2,000	100.00%
				2630 Subscriptions and Publications	-	-	-	-	-
				2690 Small Purchases	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and N	-	-	-	-	-
				PSB-102 Total	-	-	2,000	2,000	100.00%
				PSB Intelligence Analysis Total	-	-	2,000	2,000	100.00%
				PSB Intelligence Analysis Total	-	-	2,000	2,000	100.00%
				PSB Investigations					
				PSB Investigations					
				PSB-101					
				2110 Temporary Duty (TDY) Travel	-	-	750,000	750,000	100.00%
				2111 Temp Travel Training	-	-	34,591	34,591	100.00%
				2112 Local Travel	-	-	-	-	-
				2115 Protective Detail TDY Travel	-	-	-	-	-
				2315 Software Subscriptions	-	-	-	-	-
				2334 Local Telecommunications	-	-	-	-	-
				2510 Membership Fees	-	-	453	453	100.00%
				2512 External Training	-	-	26,438	26,438	100.00%
				2514 Internal Training Contractual Agreements	-	-	-	-	-
				2526 Contractor Support Services non-Federal	-	-	96,350	96,350	100.00%
				2535 Government Support Services	-	-	-	-	-
				2536 Government Support Services/TRNG	-	-	1,644	1,644	100.00%
				2540 Miscellaneous Merchant & Vendor Services	-	-	-	-	-
				2573 Software and Technical Support Services & N	-	-	17,573	17,573	100.00%

Program	Subprogram	Project	BOC	BOC Description	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change from FY20	
					\$	\$	\$	\$	%
				2610 Office & Miscellaneous Supplies	-	-	9,000	9,000	100.00%
				2630 Subscriptions and Publications	-	-	-	-	-
				2690 Small Purchases	-	-	2,000	2,000	100.00%
				3110 Non-Capitalized Furniture, Equipment, and M	-	-	26,815	26,815	100.00%
				PSB-101 Total	-	-	964,864	964,864	100.00%
				PSB Investigations Total	-	-	964,864	964,864	100.00%
				PSB Investigations Total	-	-	964,864	964,864	100.00%
				PSB Protective Detail Travel					
				PSB Protective Detail Travel					
				PSB-200					
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	-	44,722	204,755	160,033	357.84%
				2115 Protective Detail TDY Travel	9,986,522	11,822,966	13,750,000	1,927,034	16.30%
				2120 Vehicle Rental	3,236	10,844	16,000	5,156	47.55%
				2125 Charter Flights	465,660	500,000	500,000	-	-
				2322 Rentals - Miscellaneous	1,110	28,680	-	(28,680)	(100.00%)
				2334 Local Telecommunications	1,202	-	-	-	-
				2350 Postage and Fees	6	-	-	-	-
				2512 External Training	4,440	116,394	252,188	135,794	116.67%
				2536 Government Support Services/TRNG	-	-	-	-	-
				2571 Vehicle Repair Services	-	-	-	-	-
				2699 Credit Card Disputes	-	-	-	-	-
				PSB-200 Total	10,462,176	12,523,606	14,722,943	2,199,337	17.56%
				PSB Protective Detail Travel Total	10,462,176	12,523,606	14,722,943	2,199,337	17.56%
				PSB Protective Detail Travel Total	10,462,176	12,523,606	14,722,943	2,199,337	17.56%
				PSB Protective Services					
				PSB Convention Support					
				PSB-103					
				2110 Temporary Duty (TDY) Travel	802,390	2,380,686	-	(2,380,686)	(100.00%)
				2111 Temp Travel Training	-	-	-	-	-
				2310 Rental of Equipment	-	-	-	-	-
				2322 Rentals - Miscellaneous	-	275,828	-	(275,828)	(100.00%)
				2335 Rental of Telecommunications Equipment	-	125,397	-	(125,397)	(100.00%)
				2410 Printing and Binding	-	-	-	-	-
				2526 Contractor Support Services non-Federal	-	-	-	-	-
				2535 Government Support Services	-	-	-	-	-
				2610 Office & Miscellaneous Supplies	-	79,352	-	(79,352)	(100.00%)
				2615 Provisions	-	-	-	-	-
				2633 Biohazard Supplies	-	-	-	-	-
				2690 Small Purchases	-	2,235	-	(2,235)	(100.00%)
				3110 Non-Capitalized Furniture, Equipment, and M	-	-	-	-	-
				PSB-103 Total	802,390	2,863,498	-	(2,863,498)	(100.00%)
				PSB Convention Support Total	802,390	2,863,498	-	(2,863,498)	(100.00%)
				PSB Dignitary Services					
				PSB-100					
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	-	-	-	-	-
				2315 Software Subscriptions	-	-	-	-	-
				2322 Rentals - Miscellaneous	-	-	-	-	-
				2334 Local Telecommunications	-	-	-	-	-
				2512 External Training	-	-	-	-	-
				2526 Contractor Support Services non-Federal	-	-	-	-	-
				2535 Government Support Services	-	-	-	-	-
				2540 Miscellaneous Merchant & Vendor Services	-	-	-	-	-
				2571 Vehicle Repair Services	-	-	-	-	-
				2610 Office & Miscellaneous Supplies	7,793	-	7,000	7,000	100.00%
				2633 Biohazard Supplies	-	-	-	-	-
				2634 Controlled Explosives & Ammunition	-	-	-	-	-
				2690 Small Purchases	117	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and M	22,054	-	8,000	8,000	100.00%
				3175 Non-Capitalized Vehicle Accessories	-	-	-	-	-
				PSB-100 Total	29,964	-	15,000	15,000	100.00%
				PSB Dignitary Services Total	29,964	-	15,000	15,000	100.00%
				PSB Protective Intelligence					
				PSB-101					
				2110 Temporary Duty (TDY) Travel	73,486	38,371	-	(38,371)	(100.00%)

Program	Subprogram	Project	BOC	BOC Description	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change from FY20	
					\$	\$	\$	\$	%
				2111 Temp Travel Training	8,900	45,015	-	(45,015)	(100.00%)
				2112 Local Travel	88	-	-	-	-
				2115 Protective Detail TDY Travel	912	-	-	-	-
				2315 Software Subscriptions	9,715	-	-	-	-
				2334 Local Telecommunications	285	-	-	-	-
				2510 Membership Fees	-	436	-	(436)	(100.00%)
				2512 External Training	9,347	24,565	-	(24,565)	(100.00%)
				2514 Internal Training Contractual Agreements	-	-	-	-	-
				2526 Contractor Support Services non-Federal	68,891	88,578	-	(88,578)	(100.00%)
				2535 Government Support Services	-	-	-	-	-
				2540 Miscellaneous Merchant & Vendor Services	4,264	-	-	-	-
				2573 Software and Technical Support Services & N	2,050	9,473	-	(9,473)	(100.00%)
				2610 Office & Miscellaneous Supplies	7,204	-	-	-	-
				2630 Subscriptions and Publications	69	-	-	-	-
				2690 Small Purchases	-	2,000	-	(2,000)	(100.00%)
				3110 Non-Capitalized Furniture, Equipment, and N	2,856	18,850	-	(18,850)	(100.00%)
				PSB-101 Total	188,067	227,288	-	(227,288)	(100.00%)
				PSB Protective Intelligence Total	188,067	227,288	-	(227,288)	(100.00%)
				PSB Protective Services Total	1,020,421	3,090,786	15,000	(3,075,786)	(99.51%)
				Protective Services Bureau Total	11,547,508	15,790,249	15,884,422	94,173	0.60%
				Security Services Bureau					
				SSB Administration					
				SSB Administration					
				SSB-0001					
				2110 Temporary Duty (TDY) Travel	5,000	11,259	-	(11,259)	(100.00%)
				2111 Temp Travel Training	30,276	19,450	13,800	(5,650)	(29.05%)
				2512 External Training	235,445	311,371	92,790	(218,581)	(70.20%)
				2526 Contractor Support Services non-Federal	-	-	-	-	-
				2535 Government Support Services	-	-	-	-	-
				2536 Government Support Services/TRNG	-	-	2,600	2,600	100.00%
				2573 Software and Technical Support Services & N	55,258	-	-	-	-
				2610 Office & Miscellaneous Supplies	30,816	32,738	34,026	1,288	3.93%
				2630 Subscriptions and Publications	-	-	-	-	-
				2699 Credit Card Disputes	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and N	1,247	29,192	-	(29,192)	(100.00%)
				3184 Capitalized Software	-	-	-	-	-
				3194 Non-Capitalized Software	-	-	-	-	-
				SSB-0001 Total	358,041	404,010	143,216	(260,794)	(64.55%)
				SSB Administration Total	358,041	404,010	143,216	(260,794)	(64.55%)
				SSB Administration Total	358,041	404,010	143,216	(260,794)	(64.55%)
				SSB Hardware & Operations					
				SSB Equipment & Supplies					
				SSB-0400					
				2526 Contractor Support Services non-Federal	1	574	9,352	8,778	1,529.27%
				2620 System Supplies and Materials	9,560	10,225	11,145	920	9.00%
				3110 Non-Capitalized Furniture, Equipment, and N	-	4,692	111,447	106,755	2,275.26%
				SSB-0400 Total	9,561	15,491	131,944	116,453	751.75%
				SSB Equipment & Supplies Total	9,561	15,491	131,944	116,453	751.75%
				SSB Fire Hardware & Security Locks					
				SSB-0401					
				2526 Contractor Support Services non-Federal	1,584	10,426	-	(10,426)	(100.00%)
				2620 System Supplies and Materials	36,624	21,717	24,509	2,792	12.86%
				3110 Non-Capitalized Furniture, Equipment, and N	171,537	186,047	245,086	59,039	31.73%
				3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
				SSB-0401 Total	209,744	218,190	269,595	51,405	23.58%
				SSB Fire Hardware & Security Locks Total	209,744	218,190	269,595	51,405	23.58%
				SSB Member Survey & Services					
				SSB-0402					
				2110 Temporary Duty (TDY) Travel	60,278	31,278	50,000	18,722	59.86%
				SSB-0402 Total	60,278	31,278	50,000	18,722	59.86%
				SSB Member Survey & Services Total	60,278	31,278	50,000	18,722	59.86%
				SSB Hardware & Operations Total	279,583	264,959	451,539	186,580	70.42%
				SSB Inauguration					
				SSB Inauguration					
				SSB-0700					
				2410 Printing and Binding	-	-	-	-	-

Program Subprogram	Project	BOC	BOC Description	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change from FY20	
				\$	\$	\$	\$	%
			2526 Contractor Support Services non-Federal	-	-	-	-	-
			2610 Office & Miscellaneous Supplies	-	-	-	-	-
			3110 Non-Capitalized Furniture, Equipment, and M	-	-	154,499	154,499	100.00%
			3194 Non-Capitalized Software	-	-	-	-	-
			SSB-0700 Total	-	-	154,499	154,499	100.00%
			SSB Inauguration Total	-	-	154,499	154,499	100.00%
			SSB Inauguration Total	-	-	154,499	154,499	100.00%
			SSB Screening Technologies					
			SSB Enhanced Portals					
			SSB-0200					
			2526 Contractor Support Services non-Federal	-	-	5,125	5,125	100.00%
			2620 System Supplies and Materials	67,406	75,000	15,146	(59,854)	(79.81%)
			3110 Non-Capitalized Furniture, Equipment, and M	-	-	378,646	378,646	100.00%
			3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
			SSB-0200 Total	67,406	75,000	398,917	323,917	431.89%
			SSB Enhanced Portals Total	67,406	75,000	398,917	323,917	431.89%
			SSB Explosive Detectors					
			SSB-0201					
			2526 Contractor Support Services non-Federal	79,555	20,852	30,750	9,898	47.47%
			2620 System Supplies and Materials	217,697	166,814	127,054	(39,760)	(23.83%)
			3110 Non-Capitalized Furniture, Equipment, and M	-	-	-	-	-
			3120 Capitalized Furniture, Equipment, and Machi	1,239,542	876,326	635,269	(241,057)	(27.51%)
			3194 Non-Capitalized Software	-	-	-	-	-
			SSB-0201 Total	1,536,794	1,063,992	793,073	(270,919)	(25.46%)
			SSB Explosive Detectors Total	1,536,794	1,063,992	793,073	(270,919)	(25.46%)
			SSB Metal Detectors					
			SSB-0202					
			2526 Contractor Support Services non-Federal	-	2,059	-	(2,059)	(100.00%)
			2620 System Supplies and Materials	17,481	15,892	4,132	(11,760)	(74.00%)
			3110 Non-Capitalized Furniture, Equipment, and M	62,893	176,017	103,304	(72,713)	(41.31%)
			3120 Capitalized Furniture, Equipment, and Machi	98,824	-	-	-	-
			3194 Non-Capitalized Software	14,300	-	-	-	-
			SSB-0202 Total	193,498	193,968	107,436	(86,532)	(44.61%)
			SSB Metal Detectors Total	193,498	193,968	107,436	(86,532)	(44.61%)
			SSB Podiums					
			SSB-0203					
			2526 Contractor Support Services non-Federal	10,746	11,898	-	(11,898)	(100.00%)
			2610 Office & Miscellaneous Supplies	15,513	15,513	-	(15,513)	(100.00%)
			2620 System Supplies and Materials	-	-	4,657	4,657	100.00%
			3110 Non-Capitalized Furniture, Equipment, and M	54,097	128,994	116,420	(12,574)	(9.75%)
			3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
			3194 Non-Capitalized Software	-	-	-	-	-
			SSB-0203 Total	80,356	156,405	121,077	(35,328)	(22.59%)
			SSB Podiums Total	80,356	156,405	121,077	(35,328)	(22.59%)
			SSB X-Rays					
			SSB-0204					
			2526 Contractor Support Services non-Federal	375	10,426	1,056	(9,370)	(89.87%)
			2620 System Supplies and Materials	65,683	65,683	69,508	3,825	5.82%
			3110 Non-Capitalized Furniture, Equipment, and M	349,953	-	-	-	-
			3120 Capitalized Furniture, Equipment, and Machi	714,796	619,082	695,085	76,003	12.28%
			SSB-0204 Total	1,130,807	695,191	765,649	70,458	10.14%
			SSB X-Rays Total	1,130,807	695,191	765,649	70,458	10.14%
			SSB Screening Technologies Total	3,008,860	2,184,556	2,186,152	1,596	0.07%
			SSB Security Systems					
			SSB Audio & Alert Communications					
			SSB-0100					
			2526 Contractor Support Services non-Federal	25,073	104,259	30,750	(73,509)	(70.51%)
			2535 Government Support Services	-	-	-	-	-
			2573 Software and Technical Support Services & M	79,186	-	51,250	51,250	100.00%
			2620 System Supplies and Materials	18,481	18,767	10,405	(8,362)	(44.56%)
			3110 Non-Capitalized Furniture, Equipment, and M	3,876	87,862	260,125	172,263	196.06%
			3120 Capitalized Furniture, Equipment, and Machi	77,216	-	-	-	-
			3194 Non-Capitalized Software	-	-	-	-	-
			SSB-0100 Total	203,832	210,888	352,530	141,642	67.16%
			SSB Audio & Alert Communications Total	203,832	210,888	352,530	141,642	67.16%
			SSB Countermeasures					

Program	Subprogram	Project	BOC	BOC Description	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change from FY20	
					\$	\$	\$	\$	%
SSB-0101									
			2526	Contractor Support Services non-Federal	-	-	10,991	10,991	100.00%
			2573	Software and Technical Support Services & N	-	-	27,712	27,712	100.00%
			2610	Office & Miscellaneous Supplies	-	-	-	-	-
			2620	System Supplies and Materials	-	-	4,720	4,720	100.00%
			3110	Non-Capitalized Furniture, Equipment, and N	1,843,437	164,700	-	(164,700)	(100.00%)
			3120	Capitalized Furniture, Equipment, and Machi	-	428,808	4,041,443	3,612,635	842.48%
			SSB-0101 Total		1,843,437	593,508	4,084,866	3,491,358	588.26%
			SSB Countermeasures Total		1,843,437	593,508	4,084,866	3,491,358	588.26%
			SSB Duress						
			SSB-0102						
			2526	Contractor Support Services non-Federal	1,623	72,197	29,213	(42,984)	(59.54%)
			2535	Government Support Services	-	-	-	-	-
			2573	Software and Technical Support Services & N	70,574	-	87,712	87,712	100.00%
			2610	Office & Miscellaneous Supplies	13,785	-	-	-	-
			2620	System Supplies and Materials	-	15,003	4,356	(10,647)	(70.97%)
			3110	Non-Capitalized Furniture, Equipment, and N	770,724	482,278	108,899	(373,379)	(77.42%)
			3120	Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
			SSB-0102 Total		856,706	569,478	230,180	(339,298)	(59.58%)
			SSB Duress Total		856,706	569,478	230,180	(339,298)	(59.58%)
			SSB Mobile Security						
			SSB-0103						
			2334	Local Telecommunications	-	-	-	-	-
			2526	Contractor Support Services non-Federal	-	-	-	-	-
			2535	Government Support Services	-	-	-	-	-
			2573	Software and Technical Support Services & N	-	-	-	-	-
			2620	System Supplies and Materials	-	-	-	-	-
			3110	Non-Capitalized Furniture, Equipment, and N	-	-	749	749	100.00%
			3120	Capitalized Furniture, Equipment, and Machi	-	-	18,715	18,715	100.00%
			SSB-0103 Total		-	-	19,464	19,464	100.00%
			SSB Mobile Security Total		-	-	19,464	19,464	100.00%
			SSB Network & Infrastructure						
			SSB-0104						
			2526	Contractor Support Services non-Federal	-	283,454	27,403	(256,051)	(90.33%)
			2535	Government Support Services	-	-	-	-	-
			2573	Software and Technical Support Services & N	485,365	-	1,118,729	1,118,729	100.00%
			2620	System Supplies and Materials	13,825	14,075	136,181	122,106	867.54%
			3110	Non-Capitalized Furniture, Equipment, and N	764,403	430,294	3,404,531	2,974,237	691.21%
			3120	Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
			3194	Non-Capitalized Software	141,843	496,241	-	(496,241)	(100.00%)
			SSB-0104 Total		1,405,435	1,224,064	4,686,844	3,462,780	282.89%
			SSB Network & Infrastructure Total		1,405,435	1,224,064	4,686,844	3,462,780	282.89%
			SSB Security Management						
			SSB-0105						
			2526	Contractor Support Services non-Federal	28,500	210,630	76,875	(133,755)	(63.50%)
			2535	Government Support Services	-	-	-	-	-
			2573	Software and Technical Support Services & N	186,995	-	62,013	62,013	100.00%
			2620	System Supplies and Materials	60,715	68,395	34,305	(34,090)	(49.84%)
			3110	Non-Capitalized Furniture, Equipment, and N	934,900	526,069	857,634	331,565	63.03%
			3120	Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
			3194	Non-Capitalized Software	-	8,831	-	(8,831)	(100.00%)
			SSB-0105 Total		1,211,110	813,925	1,030,827	216,902	26.65%
			SSB Security Management Total		1,211,110	813,925	1,030,827	216,902	26.65%
			SSB Speaker's Security						
			SSB-0106						
			2526	Contractor Support Services non-Federal	6,256	-	1,661	1,661	100.00%
			2620	System Supplies and Materials	-	-	676	676	100.00%
			3110	Non-Capitalized Furniture, Equipment, and N	-	25,000	16,901	(8,099)	(32.40%)
			3120	Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
			3194	Non-Capitalized Software	18,744	-	-	-	-
			SSB-0106 Total		25,000	25,000	19,238	(5,762)	(23.05%)
			SSB Speaker's Security Total		25,000	25,000	19,238	(5,762)	(23.05%)
			SSB Video Management						
			SSB-0107						
			2110	Temporary Duty (TDY) Travel	-	-	-	-	-
			2111	Temp Travel Training	-	-	-	-	-

Program	Subprogram	Project	BOC	BOC Description	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change from FY20	
					\$	\$	\$	\$	%
				2512 External Training	-	-	-	-	-
				2526 Contractor Support Services non-Federal	10,000	309,124	10,390	(298,734)	(96.64%)
				2535 Government Support Services	-	-	-	-	-
				2573 Software and Technical Support Services & N	309,124	-	168,180	168,180	100.00%
				2610 Office & Miscellaneous Supplies	-	-	-	-	-
				2620 System Supplies and Materials	45,707	37,040	46,456	9,416	25.42%
				3110 Non-Capitalized Furniture, Equipment, and M	1,581,652	868,522	1,161,391	292,869	33.72%
				3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
				3184 Capitalized Software	-	-	-	-	-
				3194 Non-Capitalized Software	-	-	-	-	-
				SSB-0107 Total	1,946,483	1,214,686	1,386,417	171,731	14.14%
				SSB Video Management Total	1,946,483	1,214,686	1,386,417	171,731	14.14%
				SSB Security Systems Total	7,492,003	4,651,549	11,810,366	7,158,817	153.90%
				SSB Service Contracts					
				SSB ACF Guard Force					
				SSB-0300					
				2526 Contractor Support Services non-Federal	1,136,661	1,153,740	1,203,908	50,168	4.35%
				2620 System Supplies and Materials	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and N	-	-	-	-	-
				3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
				SSB-0300 Total	1,136,661	1,153,740	1,203,908	50,168	4.35%
				SSB ACF Guard Force Total	1,136,661	1,153,740	1,203,908	50,168	4.35%
				SSB Barriers					
				SSB-0301					
				2526 Contractor Support Services non-Federal	972,411	919,888	935,136	15,248	1.66%
				2620 System Supplies and Materials	83,229	69,229	70,373	1,144	1.65%
				3110 Non-Capitalized Furniture, Equipment, and N	-	-	-	-	-
				3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
				SSB-0301 Total	1,055,640	989,117	1,005,509	16,392	1.66%
				SSB Barriers Total	1,055,640	989,117	1,005,509	16,392	1.66%
				SSB Installations					
				SSB-0303					
				2526 Contractor Support Services non-Federal	-	-	-	-	-
				2535 Government Support Services	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and N	661,910	-	-	-	-
				3120 Capitalized Furniture, Equipment, and Machi	-	957,098	994,759	37,661	3.93%
				3194 Non-Capitalized Software	6,428	-	-	-	-
				SSB-0303 Total	668,338	957,098	994,759	37,661	3.93%
				SSB Installations Total	668,338	957,098	994,759	37,661	3.93%
				SSB Security Equipment Maintenance					
				SSB-0304					
				2526 Contractor Support Services non-Federal	3,406,439	3,386,319	2,856,137	(530,182)	(15.66%)
				2535 Government Support Services	-	-	-	-	-
				SSB-0304 Total	3,406,439	3,386,319	2,856,137	(530,182)	(15.66%)
				SSB Security Equipment Maintenance Total	3,406,439	3,386,319	2,856,137	(530,182)	(15.66%)
				SSB Support Staffing					
				SSB-0305					
				2526 Contractor Support Services non-Federal	1,999,425	1,561,981	3,395,386	1,833,405	117.38%
				2535 Government Support Services	-	-	-	-	-
				3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
				SSB-0305 Total	1,999,425	1,561,981	3,395,386	1,833,405	117.38%
				SSB Support Staffing Total	1,999,425	1,561,981	3,395,386	1,833,405	117.38%
				SSB Technical Countermeasures					
				SSB-0302					
				2334 Local Telecommunications	-	-	-	-	-
				2526 Contractor Support Services non-Federal	2,124,749	2,649,628	2,826,240	176,612	6.67%
				2535 Government Support Services	-	-	-	-	-
				2573 Software and Technical Support Services & N	18,558	-	-	-	-
				2620 System Supplies and Materials	3,395	4,171	-	(4,171)	(100.00%)
				3110 Non-Capitalized Furniture, Equipment, and N	1,303,487	598,487	323,362	(275,125)	(45.97%)
				3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
				3194 Non-Capitalized Software	-	-	-	-	-
				SSB-0302 Total	3,450,190	3,252,286	3,149,602	(102,684)	(3.16%)
				SSB Technical Countermeasures Total	3,450,190	3,252,286	3,149,602	(102,684)	(3.16%)
				SSB Service Contracts Total	11,716,692	11,300,541	12,605,301	1,304,760	11.55%
				SSB Special Projects					

Program	Subprogram	Project	BOC	BOC Description	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change from FY20	
					\$	\$	\$	\$	%
SSB Foundation Alarm									
SSB-0608									
				3110 Non-Capitalized Furniture, Equipment, and M	135,034	200,000	-	(200,000)	(100.00%)
				3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
				SSB-0608 Total	135,034	200,000	-	(200,000)	(100.00%)
				SSB Foundation Alarm Total	135,034	200,000	-	(200,000)	(100.00%)
SSB Kiosk									
SSB-0610									
				2526 Contractor Support Services non-Federal	-	-	-	-	-
				2620 System Supplies and Materials	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and M	640,000	640,000	70,175	(569,825)	(89.04%)
				3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
				SSB-0610 Total	640,000	640,000	70,175	(569,825)	(89.04%)
				SSB Kiosk Total	640,000	640,000	70,175	(569,825)	(89.04%)
				SSB Special Projects Total	775,034	840,000	70,175	(769,825)	(91.85%)
				Security Services Bureau Total	23,030,215	19,645,615	27,421,248	7,775,633	39.58%
Training Services Bureau									
TSB Administration									
TSB Administration									
TSB-001									
				2110 Temporary Duty (TDY) Travel	42	20,000	15,000	(5,000)	(25.00%)
				2111 Temp Travel Training	-	-	-	-	-
				2130 Relocation Reimbursement-Enroute Travel &	-	1,000	-	(1,000)	(100.00%)
				2210 Transportation of Household Goods and Pers	-	9,162	-	(9,162)	(100.00%)
				2337 Utilities	-	-	-	-	-
				2512 External Training	-	-	-	-	-
				2526 Contractor Support Services non-Federal	3,440	3,440	3,270	(170)	(4.94%)
				2535 Government Support Services	-	40,540	-	(40,540)	(100.00%)
				2540 Miscellaneous Merchant and Vendor Service	-	4,460	-	(4,460)	(100.00%)
				2610 Office & Miscellaneous Supplies	7,057	10,000	10,000	-	-
				2699 Credit Card Disputes	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and M	-	-	-	-	-
				TSB-001 Total	10,539	88,602	28,270	(60,332)	(68.09%)
				TSB Administration Total	10,539	88,602	28,270	(60,332)	(68.09%)
				TSB Administration Total	10,539	88,602	28,270	(60,332)	(68.09%)
TSB Training Services									
TSB Firearms Training Qualification									
TSB-101									
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	-	-	15,400	15,400	100.00%
				2512 External Training	-	-	24,500	24,500	100.00%
				2526 Contractor Support Services non-Federal	181,441	185,000	225,000	40,000	21.62%
				2535 Government Support Services	59,646	66,800	65,532	(1,268)	(1.90%)
				2536 Government Support Services/TRNG	-	-	5,700	5,700	100.00%
				2610 Office & Miscellaneous Supplies	31,449	32,712	32,000	(712)	(2.18%)
				2634 Controlled Explosives & Ammunition	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and M	15,935	21,765	45,000	23,235	106.75%
				3180 Weapons and Replacement Parts	-	-	-	-	-
				TSB-101 Total	288,471	306,277	413,132	106,855	34.89%
				TSB Firearms Training Qualification Total	288,471	306,277	413,132	106,855	34.89%
TSB Training Programs									
TSB-100									
				2110 Temporary Duty (TDY) Travel	70,215	-	-	-	-
				2111 Temp Travel Training	20,523	409,992	253,520	(156,472)	(38.16%)
				2512 External Training	4,492	70,790	18,860	(51,930)	(73.36%)
				2513 Management Development	-	8,625	25,500	16,875	195.65%
				2514 Internal Training Contractual Agreements	-	-	-	-	-
				2526 Contractor Support Services non-Federal	1,638,894	1,464,288	1,653,507	189,219	12.92%
				2535 Government Support Services	932,700	953,500	1,013,500	60,000	6.29%
				2536 Government Support Services/TRNG	217,619	296,899	106,630	(190,269)	(64.09%)
				2610 Office & Miscellaneous Supplies	20,485	42,320	38,000	(4,320)	(10.21%)
				2630 Subscriptions and Publications	-	-	-	-	-
				2637 Law Enforcement Uniforms	290	-	1,600	1,600	100.00%
				3110 Non-Capitalized Furniture, Equipment, and M	29,369	6,824	27,000	20,176	295.66%
				3120 Capitalized Furniture, Equipment, and Machi	-	-	-	-	-
				3184 Capitalized Software	-	-	-	-	-

Program	Subprogram	Project	BOC	BOC Description	FY 2019 Actuals	FY 2020 Enacted	FY 2021 Request	Change from FY20	
					\$	\$	\$	\$	%
				TSB-100 Total	2,934,586	3,253,238	3,138,117	(115,121)	(3.54%)
				TSB Training Programs Total	2,934,586	3,253,238	3,138,117	(115,121)	(3.54%)
				TSB Training Services Total	3,223,058	3,559,515	3,551,249	(8,266)	(0.23%)
				Training Services Bureau Total	3,233,597	3,648,117	3,579,519	(68,598)	(1.88%)
				Uniformed Services Bureau					
				USB Administration					
				USB Administration					
				USB-001					
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	-	-	-	-	-
				2112 Local Travel	-	-	-	-	-
				2120 Vehicle Rental	-	-	-	-	-
				2310 Rental of Equipment	-	-	-	-	-
				2512 External Training	-	19,500	19,500	-	-
				2526 Contractor Support Services non-Federal	-	-	-	-	-
				2610 Office & Miscellaneous Supplies	2,179	3,000	1,500	(1,500)	(50.00%)
				2630 Subscriptions and Publications	-	-	-	-	-
				2699 Credit Card Disputes	-	-	-	-	-
				3110 Non-Capitalized Furniture, Equipment, and N	-	-	-	-	-
				USB-001 Total	2,179	22,500	21,000	(1,500)	(6.67%)
				USB Administration Total	2,179	22,500	21,000	(1,500)	(6.67%)
				USB Capitol Division					
				USB-002					
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	-	-	-	-	-
				2512 External Training	-	-	-	-	-
				2610 Office & Miscellaneous Supplies	8,186	13,750	9,000	(4,750)	(34.55%)
				3110 Non-Capitalized Furniture, Equipment, and N	-	-	-	-	-
				USB-002 Total	8,186	13,750	9,000	(4,750)	(34.55%)
				USB Capitol Division Total	8,186	13,750	9,000	(4,750)	(34.55%)
				USB House Division					
				USB-005					
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	-	-	-	-	-
				2512 External Training	-	-	255	255	100.00%
				2610 Office & Miscellaneous Supplies	12,500	13,750	12,750	(1,000)	(7.27%)
				3110 Non-Capitalized Furniture, Equipment, and N	-	-	-	-	-
				USB-005 Total	12,500	13,750	13,005	(745)	(5.42%)
				USB House Division Total	12,500	13,750	13,005	(745)	(5.42%)
				USB Library Of Congress					
				USB-003					
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	-	-	-	-	-
				2512 External Training	-	-	170	170	100.00%
				2610 Office & Miscellaneous Supplies	4,281	5,625	4,000	(1,625)	(28.89%)
				3110 Non-Capitalized Furniture, Equipment, and N	-	-	-	-	-
				USB-003 Total	4,281	5,625	4,170	(1,455)	(25.87%)
				USB Library Of Congress Total	4,281	5,625	4,170	(1,455)	(25.87%)
				USB Senate Division					
				USB-004					
				2110 Temporary Duty (TDY) Travel	-	-	-	-	-
				2111 Temp Travel Training	-	-	-	-	-
				2512 External Training	-	-	595	595	100.00%
				2610 Office & Miscellaneous Supplies	10,313	13,750	12,750	(1,000)	(7.27%)
				3110 Non-Capitalized Furniture, Equipment, and N	-	-	-	-	-
				USB-004 Total	10,313	13,750	13,345	(405)	(2.95%)
				USB Senate Division Total	10,313	13,750	13,345	(405)	(2.95%)
				USB Administration Total	37,458	69,375	60,520	(8,855)	(12.76%)
				Uniformed Services Bureau Total	37,458	69,375	60,520	(8,855)	(12.76%)
				Annual Total	90,772,044	85,279,000	98,544,142	14,265,142	16.73%
				(No Year) JAWS Alert System	-	-	3,600,000	3,600,000	-
				Grand Total	90,772,044	85,279,000	103,144,142	17,865,142	20.95%

FY 2021
OFFICE OF INSPECTOR GENERAL (OIG)
Resource Requirements

General Expenses Budget

Program	FY 2020 Enacted	FY 2021 Request	Change	% Change
Administration	\$452,500	\$452,500	\$0	0%

OIG respectfully requests \$452,500 for General Expenses to support its statutory responsibilities for auditing Department programs and operations to ensure efficacy and investigation complaints of potential fraud, waste or abuse.

Salaries

OIG understands fully the fiscal challenges facing the government, as well as its responsibility to maximize resources to achieve goals and objectives. When established in 2006, the Office of Inspector General was authorized four positions; an Inspector General, an auditor, an investigator, and one administrative staff. In 2014, with the support of our oversight committees, OIG increased its staffing by two FTEs from within the Department's funded civilian staffing levels (House Report 112-511, Legislative Branch Appropriations Bill, 2013 dated June 1, 2012) and (Senate CRPT 113-196 dated June 14, 2014) stated "The Committee includes funds to support not less than six FTEs within the USCP Office of Inspector General." In 2016, with the support of our oversight committees, OIG added two additional positions from within the Department's funded civilian staffing for a total of 8 OIG personnel. These two positions are fully dedicated to conducting the annual audit of the Department's financial statements, which resulted in OIG in previous fiscal years, reducing its general expense budget by \$340,000 or 43 percent (contractor cost for the audit of the FY 2016 financial statements.) In FY 2019 with the support of our oversight committees, OIG added one additional position from within the Department's funded civilian staffing for a total of 9 full-time OIG personnel. This additional position is dedicated to conducting audits and providing legal counsel as appropriate to support the OIG mission independently. In FY 2020, with the support of our oversight committees, OIG added one additional position from within the Department's funded civilian staffing for a total of 10 full-time OIG personnel. This additional position is dedicated to OIG conducting additional work related to the security of Federal information systems and cyber infrastructure and financial audits; thereby, reducing our reliance on contractors to conduct such critical projects.

The ratio of OIG staff to agency staff should be 1:100. In an earlier external staffing assessment of OIG, it was determined that between 9 and 12 full-time personnel are required to carry out the USCP OIG mission. Currently, the USCP OIG is at about 1:272. Further, from FYs 2007 to 2019, the Department's budget, not including supplemental appropriations, has increased 78 percent and the authorized level of positions has grown by 373.

OIG continues to report the top management challenges facing the Department for each of the past twelve years: Protecting and Securing the Capitol Complex (Challenge 1); Ensuring the Security of Federal Information System and Cyber Critical Infrastructure and Protecting the Privacy of Personally Identifiable Information (Challenge 2); Strong, Integrated Internal Control

Systems Still Needed (Challenge 3); Managing Federal Contracting More Effectively (Challenge 4); and Human Capital Management Needs Improvement (Challenge 5.) These challenges represent OIG's view of the most serious risks/vulnerabilities facing the Department. OIG oversight activities, focusing resources against reviewing these challenges, provides valuable information to managers and those charged with governance, regarding the economy, efficiency, and effectiveness of those programs and operations.

APPENDIX I. Pursuant to House Report 116-64, the United States Capitol Police is including the following information in its FY 2021 budget justification: Expenditures for fiscal year 2019 for (1) all contracts for advertising services; and (2) contracts for the advertising services of (i) socially and economically disadvantaged small business concerns (as defined in section 8(a)(4) of the Small Business Act (15 U.S.C. 637(a)(4)); and (ii) women- and minority-owned businesses.

USCP

Fiscal 2019

Advertising Services Contracts

Contract Title	Contract #	Vendor	Service Unit	Program Code	BOC	Obligations \$	If advertising is only part of the contract, list partial amount here \$	Socially & Economically Disadvantaged Small Business %	Minority-owned Business %	Women-owned Business %	All other businesses %
ACOP Vacancy Announcement Advertising	PQJ-OHR2019060133	International Association of Police Chiefs	OHR		2526	\$ 450					✓
ACOP Vacancy Announcement Advertising	PQJ-OHR2019060136	National Sheriff's Association	OHR		2526	\$ 250					✓
ACOP Vacancy Announcement Advertising	PQJ-OHR2019060137	The National Organization of Black Law Enforcement Executives	OHR		2526	\$ 300					✓
ACOP Vacancy Announcement Advertising	PQJ-OHR2019060138	Hispame - American Police Command Officers Association	OHR		2526	\$ 250					✓
ACOP Vacancy Announcement Advertising	PQJ-OHR2019060140	National Native American Law Enforcement Association	OHR		2526	\$ 500					✓
Vacancy postings to 3 under represented minority groups		YearMembership.Com	OHR	ADAN-OHR	2526	\$ 4,600					✓
Recruitment giveaways		Almapart	OHR	ADAN-OHR	2510	\$ 21,903					✓
Recruitment set up/supplies		VivaPrint	OHR	ADAN-OHR	2510	\$ 5,082					✓
Vacancy Advertisement		Indeed	OHR	ADAN-OHR	2526	\$ 24,000					✓
Job Fair Career Fair		East Carolina University	OHR	ADAN-OHR	2526	\$ 495					✓
Job Fair Career Fair		University of Miami Career Expos	OHR	ADAN-OHR	2526	\$ 599					✓
Job Fair Career Fair		Reliant Hiring Expos	OHR	ADAN-OHR	2526	\$ 3,850					✓
Job Fair Career Fair		Penn State Career Fair	OHR	ADAN-OHR	2526	\$ 790					✓
Job Fair Career Fair		Franklin and Marshall Job Fair	OHR	ADAN-OHR	2526	\$ 75					✓
Job Fair Career Fair		Best Hire Career Fair	OHR	ADAN-OHR	2526	\$ 795					✓
Job Fair Career Fair		Corporate Gray Recruiting Event	OHR	ADAN-OHR	2526	\$ 2,100					✓
Job Fair Career Fair		Seaton Hall Univ Career Fair	OHR	ADAN-OHR	2526	\$ 129					✓
Job Fair Career Fair		Towson Univ Athletic Career Fair	OHR	ADAN-OHR	2526	\$ 150					✓
Job Fair Career Fair		Minnesota Private Colleges Job Fair	OHR	ADAN-OHR	2526	\$ 183					✓
Job Fair Career Fair		Flgler College Spring Career Fair	OHR	ADAN-OHR	2526	\$ 50					✓
Job Fair Career Fair		Ree University Career Fair	OHR	ADAN-OHR	2526	\$ 150					✓
Job Fair Career Fair		University of Minnesota Job Fair	OHR	ADAN-OHR	2526	\$ 200					✓
Job Fair Career Fair		Choice Career Fairs	OHR	ADAN-OHR	2526	\$ 2,700					✓
Job Fair Career Fair		Florida A&M Univ Career Fair	OHR	ADAN-OHR	2526	\$ 350					✓

Contract Title	Contract #	Vendor	Service Unit	Program Code	BOC	Obligations \$	If advertising is only part of the contract, list portion amount here \$	Socially & Economically Disadvantaged Small Business	Minority-owned Business	Women-owned Business	All other businesses
Software		Digital Mate - MS Office License for Recruiting Computers	OBIC	ADMIN-OBIC	3194	\$ 225		✓			✓
Job Fair Career Fair		University of Central Missouri	OBIC	ADMIN-OBIC	2526	\$ 125					✓
Job Fair Career Fair		Georgetown University	OBIC	ADMIN-OBIC	2526	\$ 400					✓
Job Fair Career Fair		University of Central Florida Career Fair	OBIC	ADMIN-OBIC	2526	\$ 1,200					✓
Job Fair Career Fair		Youngstown State University Career Fair	OBIC	ADMIN-OBIC	2526	\$ 150					✓
Job Fair Career Fair		North Carolina Central University Career Fair	OBIC	ADMIN-OBIC	2526	\$ 150					✓
Job Fair Career Fair		Appalachian State Univ. Career Fair	OBIC	ADMIN-OBIC	2526	\$ 200					✓
Job Fair Career Fair		Texas State University Career Fair	OBIC	ADMIN-OBIC	2526	\$ 75					✓
Job Fair Career Fair		UMBC Spring Career Fair	OBIC	ADMIN-OBIC	2526	\$ 400					✓
Job Fair Career Fair		Academy of Criminal Justice Sciences Recruiting Event	OBIC	ADMIN-OBIC	2526	\$ 800					✓
Job Fair Career Fair		HireAC Recruiting Event	OBIC	ADMIN-OBIC	2526	\$ 349					✓
Job Fair Career Fair		University of MD Career Fair	OBIC	ADMIN-OBIC	2526	\$ 130					✓
Job Fair Career Fair		Northeast Academy of Criminal Justice Science Recruiting Event	OBIC	ADMIN-OBIC	2526	\$ 550					✓
Job Fair Career Fair		American Society of Criminology Recruiting Event	OBIC	ADMIN-OBIC	2526	\$ 1,200					✓
Job Fair Career Fair		John Jay Recruiting Event	OBIC	ADMIN-OBIC	2526	\$ 200					✓
Job Fair Career Fair		San Diego State University Recruiting Event	OBIC	ADMIN-OBIC	2526	\$ 500					✓
Job Fair Career Fair		Fort Meade Community Job Fair	OBIC	ADMIN-OBIC	2526	\$ 475					✓
Job Fair Career Fair		Xavier University Career Fair	OBIC	ADMIN-OBIC	2526	\$ 125					✓
Job Fair Career Fair		UNC - Chapel Hill Career Fair	OBIC	ADMIN-OBIC	2526	\$ 350					✓
Job Fair Career Fair		University of NC - Wilmington Career Fair	OBIC	ADMIN-OBIC	2526	\$ 150					✓
Job Fair Career Fair		Longwood University Career Fair	OBIC	ADMIN-OBIC	2526	\$ 125					✓
Job Fair Career Fair		University of Delaware Career Fair	OBIC	ADMIN-OBIC	2526	\$ 425					✓
Job Fair Career Fair		Cedarville University Career Fair	OBIC	ADMIN-OBIC	2526	\$ 225					✓
Job Fair Career Fair		University of St. Thomas - Houston Career Fair	OBIC	ADMIN-OBIC	2526	\$ 200					✓
Job Fair Career Fair		University of Alabama, Huntsville Career Fair	OBIC	ADMIN-OBIC	2526	\$ 360					✓
Job Fair Career Fair		Saint Joseph's University Career Fair	OBIC	ADMIN-OBIC	2526	\$ 75					✓
Job Fair Career Fair		Duquesne University Career Fair	OBIC	ADMIN-OBIC	2526	\$ 250					✓
Job Fair Career Fair		University of Pittsburgh Career Fair	OBIC	ADMIN-OBIC	2526	\$ 500					✓

Contract Title	Contract #	Vendor	Service Unit	Program Code	BOC	Obligations \$	If advertising is only part of the contract, list partial amount here \$	Socially & Economically Disadvantaged Small Business <input type="checkbox"/>	Minority-owned Business <input type="checkbox"/>	Women-owned Business <input type="checkbox"/>	All other businesses <input type="checkbox"/>
Job Fair Career Fair		Elon University Career Fair	OBIC	ADMIN-OBIC	2526	\$ 225		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Job Fair Career Fair		Marine Corps Marathon Recruiting Event	OBIC	ADMIN-OBIC	2526	\$ 3,264		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Job Fair Career Fair		Brandeis College Career App	OBIC	ADMIN-OBIC	2526	\$ 22,500		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Job Fair Career Fair		Joint Base Langley Military Career Fair	OBIC	ADMIN-OBIC	2526	\$ 65		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Job Fair Career Fair		Salisbury University Career Fair	OBIC	ADMIN-OBIC	2526	\$ 150		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Job Fair Career Fair		University of Albany Career Fair	OBIC	ADMIN-OBIC	2526	\$ 160		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Total						\$ 106,691	\$				



OFFICE OF CONGRESSIONAL WORKPLACE RIGHTS

Budget Justification Request
for the
Committee on Appropriations
Fiscal Year 2021

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Statement of the Executive Director

On behalf of the Office of Congressional Workplace Rights (OCWR or the Office), I am pleased to submit the FY 2021 budget request and justification for your consideration. On the 25th anniversary of the establishment of our Office under the Congressional Accountability Act of 1995 (CAA), we are honored to continue assisting the legislative community in creating and maintaining a workplace that is safe, accessible, and free from discrimination and other unlawful employment practices. Through the OCWR's education and outreach initiatives, administrative dispute resolution (ADR) processes, and compliance programs, the Office continues its efforts to advance workplace rights, safety and health, and accessibility on Capitol Hill, as well as in district and state offices throughout the country.

This year, the Office is requesting \$7,500,000, an increase of \$1,167,330 or 18%, from the enacted amount for FY 2020, and three additional FTEs. Currently, the OCWR operates on a budget that covers our broad mandate to provide training and education to the legislative community and the public regarding the 13 federal laws we administer; we provide ADR services; and we biennially inspect nearly 18 million square feet of the legislative branch's buildings and grounds. We have met our mandate with the resources we have had to date.

On December 21, 2018, the Congressional Accountability Act of 1995 Reform Act (Reform Act) was signed into law. The new law reflects the first set of comprehensive reforms to the CAA since 1995, and focuses on protecting victims, strengthening transparency, holding violators accountable for their personal misconduct, and improving the adjudication process. The Reform Act includes many important changes that dramatically expand the OCWR's ongoing duties and responsibilities, as well as the number of individuals covered by the CAA. The Reform Act mandated the following changes, the vast majority of which became effective and were implemented on June 19, 2019:

- substantially modifying the ADR process under the CAA, including creating additional procedures for preliminary hearing officer review of claims;
- implementing procedures for current and former Members of Congress to reimburse awards or settlement payments resulting from specified claims of harassment or retaliation;
- implementing procedures for employing offices to reimburse payments resulting from specified claims of discrimination;
- appointing advisers to provide confidential information to legislative branch employees about their rights under the CAA;
- renaming our office as the Office of Congressional Workplace Rights to more clearly inform the legislative branch community of our mission;
- extending CAA protections to unpaid staff, including interns, detailees, and fellows, as well as employees of the Library of Congress, the Stennis Center for Public Service, the China Review Commission, the Congressional-Executive China Commission, and the Helsinki Commission;
- significantly expanding OCWR reporting obligations;
- developing and administering a biennial climate survey of all legislative branch employees to collect information on the workplace environment and attitudes regarding sexual harassment;
- creating and maintaining a program to permanently retain OCWR records;
- establishing and maintaining a secure electronic system to receive and keep track of claims; and
- implementing a means by which legislative branch employees who work outside of the Washington, D.C., area—such as in Members' district and state offices—have equal access to OCWR services and resources.

Implementing these changes began in FY 2019, and many initiatives will require ongoing funding in FY 2021 and beyond. For example, the OCWR's secure e-filing system, which is now operational, will require continued cybersecurity upgrades and design modifications to assure information security and

confidentiality. Online training and educational modules must be continually updated to reflect changes in the law and fully discharge our statutory mandate to educate and assist legislative branch offices and employees. Moreover, the legislative branch climate survey, once developed, will require ongoing funding to administer it every 2 years, as mandated by the Reform Act.

The Congressional Mandate

The CAA was passed 25 years ago, establishing the Office, which opened on January 23, 1996. The CAA applies 13 workplace, employment, and safety laws to Congress and other employing offices and instrumentalities of the legislative branch throughout the United States. These laws include:

Title VII of the Civil Rights Act of 1964;
The Age Discrimination in Employment Act;
The Rehabilitation Act;
The Americans with Disabilities Act and the Americans with Disabilities Act Amendments Act;
The Family and Medical Leave Act;
The Fair Labor Standards Act;
The Employee Polygraph Protection Act;
The Worker Adjustment and Retraining Notification Act;
The Uniformed Services Employment and Reemployment Rights Act;
The Veterans Employment Opportunities Act;
The Occupational Safety and Health Act;
The Federal Service Labor Management Relations Act; and
The Genetic Information Nondiscrimination Act.

The OCWR is responsible for administering the CAA for employing offices and approximately 30,000 employees in the legislative branch. We administer and ensure the integrity of the ADR system concerning disputes that arise under the CAA; we carry out a comprehensive education and training program for congressional Members, employing offices, and congressional employees to assist them in understanding their rights and responsibilities under the CAA; we advise Congress on needed changes and amendments to the CAA; and we enforce the CAA's provisions regarding occupational safety and health, public access for persons with disabilities, and labor-management relations, including investigation and resolution of statutory violations.

The Executive Director, in addition to exercising overall office supervision and managing personnel functions, administers the ADR program and carries out the education and training program. The General Counsel has enforcement authority as to the occupational safety and health laws, the public access provisions of the Americans with Disabilities Act, and the unfair labor practice provisions of the CAA. The General Counsel also represents the OCWR and its Board of Directors in all judicial proceedings under the CAA.

The OCWR has a five-member, non-partisan Board of Directors appointed by the majority and minority leaders of both Houses of Congress. The Board members come from across the United States and are chosen for their expertise in the laws administered under the CAA. The Board acts as an adjudicative body, reviewing appeals by parties from decisions of hearing officers on complaints filed with the Office. Under the CAA, the Board is also required to advise Congress on needed changes and amendments to the CAA and promulgate new regulations to implement the laws covered under the CAA.

The OCWR currently has 28 full-time equivalent (FTE) positions, which includes the five part-time Board members (counted as one FTE) on a "when-actually-employed" basis. This employee complement performs multiple functions on a variety of subject matters including: providing confidential advice and mediation services; enforcing anti-discrimination/anti-retaliation, occupational safety and health, disability access, and labor-management relations laws; offering education and training to the covered community; providing

professional support for the Board of Directors; and performing general administrative, information technology, and fiscal functions. The OCWR also regularly contracts for the services of other individuals such as mediators, hearing officers, and safety and health specialists.

The Current Operation of the OCWR

The OCWR is charged with a broad and important statutory mandate. The OCWR serves the same functions as multiple agencies in the executive branch, including the Equal Employment Opportunity Commission, the Department of Labor, the Department of Justice (regarding public access for persons with disabilities), and the Federal Labor Relations Authority. With the CAA now in its 25th year, the OCWR continues to implement more collaborative enforcement strategies for carrying out its statutory functions without compromising the CAA's regulatory mandates. We strive to improve continually and to pursue promising initiatives that will better serve the regulated community.

The OCWR continues to make significant progress in improving the safety of the legislative branch, protecting the rights of employees, assuring access to persons with disabilities, and educating our constituency on the CAA's mandates.

FY 2021 Budget Request

The FY 2021 budget request focuses on supporting the most important aspects of the OCWR's statutory functions and improving the delivery of services to the covered community under the CAA, as amended by the Reform Act. Accordingly, the OCWR requests \$7,500,000 for FY 2021 operations. Of the requested funding, a little more than 60% provides pay and benefits for 31 FTEs. Additionally, funding will support anticipated increases associated with continued implementation and administration of changes set forth in the Reform Act, discussed above, such as redesigning the e-filing system, which is estimated at \$500,000 for FY 2021, conducting the biennial climate survey, and retaining additional hearing officers associated with preliminary review of claims.

The remainder of the requested funds will pay for contract services, including cross-servicing providers, such as the Library of Congress and the National Finance Center, and other services, equipment, and supplies needed to operate the OCWR. The OCWR also request three additional FTEs. One FTE to assist in producing training and education materials, one FTE to support the Office's growing IT needs and one FTE to work with the employing offices to expedite abatement of hazards identified during inspections and investigations and provide education and training on recognizing and abating safety and health hazards.

The OCWR and its Board of Directors are proud of the high level of service we provide to the legislative community, and we look forward to meeting the important challenges that lie before us in the coming year. The OCWR staff and I are available to answer any questions or address any concerns the Chair of the House or Senate Subcommittees or their Members may have.

Susan Tsui Grundmann

Executive Director

**OCWR
APPROPRIATIONS LANGUAGE**

SALARIES AND EXPENSES

For salaries and expenses of the OCWR, as authorized by section 305 of the Congressional Accountability Act of 1995 (2 U.S.C. § 1385), \$7,500,000, of which \$1,000,000 shall remain available until September 30, 2022: *Provided*, that not more than \$1,000 may be expended on the certification of the Executive Director of the OCWR in connection with official representation and reception expenses.

OCWR**Personnel Summary (FTE)**

	FY 2019 Actual*	FY 2020 Actual*	FY 2021 request
Average ES salary	153,022	165,200	165,200
Average GS/GM salary	\$99,089	\$98,862	\$102,990
Executive level**	5	5	5
GS/GM-15	6	5	6
GS/GM-12-14	11	14	16
GS-9-11	6	4	4
Staffing level (FTEs)	28	28	31

Notes: FY (fiscal year), FTEs (full-time equivalents), ES (Executive Schedule),
GS/GM (General Schedule).

This schedule is for comparison only. OCWR does not use the formal government system of grading and salaries. Each salary is administratively determined pursuant to P.L. 104-1, 2 U.S.C. § 1301 et seq., as amended and OCWR personnel policies and procedures.

* The salary and grades reported reflect averages for the year.

** The number of executive level staff for FY 2020 includes one FTE for Board members. OCWR's authorizing legislation requires that members be paid the per diem equivalent of the rate provided for each day (including travel time) during which such member is engaged in performing the duties of the Board, at a rate equal to the daily equivalent of the lesser of:

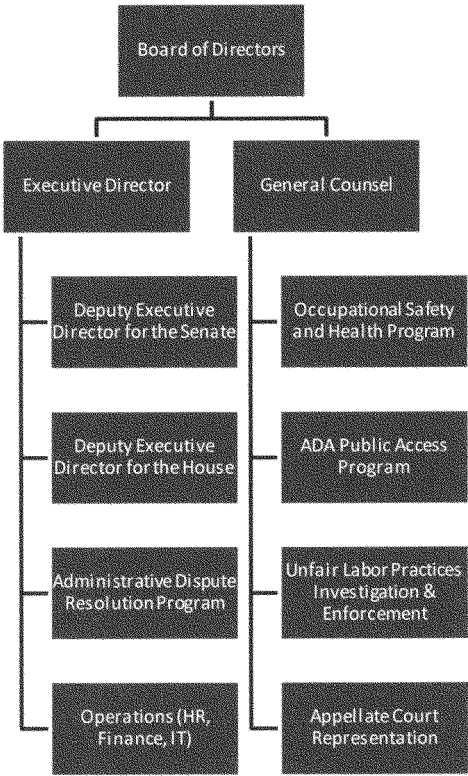
- (i) The highest annual rate of compensation of any officer of the Senate; or
 - (ii) The highest annual rate of compensation of any officer of the House of Representatives.
- The rate of pay of a Board member may be prorated based on the portion of the day during which the Board member is engaged in performing Board duties.

The other four FTEs are for the Executive Director, two Deputy Executive Directors, and the General Counsel.

OCWR
Appropriations History

Salaries and Expense Account (Amounts in thousands of dollars)		
Fiscal Year	Requests	Budget Authority
1996		858
1997		2,609
1998		2,479
1999		2,086
2000	2,076	1992
2001	2,095	1,851
2002	2,059	2,059
2003	2,289	2,157
2004	2,518	2,242
2005	2,950	2,402
2006	3,112	3,081
2007	3,418	3,102
2008	4,106	3,342
2009	4,308	4,072
2010	4,474	4,377
2011	4,675	4,077
2012	4,782	3,817
2013	4,206	3,617
2014	4,482	3,868
2015	4,020	3,959
2016	4,020	3,959
2017	4,315	3,959
2018	4,056	4,959
2019	5,411	6,333
2020	6,333	6,333
2021	7,500	

**Office of Congressional Workplace Rights
Organization Chart**



STRATEGIC PLAN and MEASURING SUCCESS

Introduction

The mission of the OCWR is to effectively and efficiently implement and enforce the CAA, as amended by the Reform Act. Its vision is a legislative branch that is free of discrimination and harassment, safety and health hazards, barriers to accessibility, and employment and labor law violations.

The OCWR is an independent and non-partisan office that opened in 1996. It is currently one of the smallest organizations of its kind, yet its mission is broad and complex. With a staff of just 27 employees, five part-time Board members, and contracted professionals as needed, the OCWR carries out mandated programs of education, alternative dispute resolution, physical grounds inspection, and enforcement. About 30,000 legislative branch employees and countless visitors to Capitol Hill and district and state offices benefit from the work of the OCWR.

The OCWR staff is committed to ensuring that the congressional workplace is safe, healthy, and free from discrimination, and that Capitol Hill remains free of barriers to public access. While it takes seriously its enforcement mission, the OCWR emphasizes voluntary compliance through cooperation and education. These approaches are key to fulfilling its mission, and they run throughout the plan.

For 24 years, the OCWR has been at the forefront of best practices for promoting and protecting the rights and obligations of legislative branch offices, employees, unions, and the visiting public on Capitol Hill and in district and state offices. Its Strategic Plan for FY 2019 - 2023 focuses on both external and internal areas of improvement. External efforts include increasing outreach and education to stakeholders; internal efforts include, among other initiatives, implementing critical information technology enhancements. All OCWR staff and Board members are important to these efforts. They are energized and determined to achieve the goals set forth in our Strategic Plan.

Goals

The Strategic Plan for FY 2019 - 2023 is comprised of several mission-related goals:

Goal I is to advance the principles of the CAA, as amended by the Reform Act.

Goal II outlines the Office's commitment to efficiently administer an effective ADR Program by facilitating the identification and resolution of workplace disputes and processing claims arising under the CAA. The OCWR seeks to ensure that stakeholders understand and have full access to its ADR procedures.

Goal III is to ensure that the OCWR will work toward full compliance with the occupational safety and health provisions of the CAA, along with the provisions governing accessibility for members of the public with disabilities, by developing cooperative relationships with stakeholders, providing expert educational and technical assistance, and timely and accurately assessing facilities, programs, activities, and services for compliance with Occupational Safety and Health (OSH) and Americans with Disabilities Act (ADA) standards.

Goal IV is to educate the legislative branch community on its rights and responsibilities under the CAA and to promote courtesy and respect in the congressional workplace, through engagement with employing offices, staff associations, and other legislative branch organizations, and through the effective distribution of information about the OCWR and the CAA through social media and other methods.

Goal V is to promote excellent labor-management relations in the legislative branch by administering the labor-management provisions of the CAA in a way that can result in relationships between labor and

management based on mutual respect and cooperation, with an aim toward resolving disputes as early as possible.

Goal VI is to develop and retain a highly motivated, talented, and satisfied workforce. This is accomplished by identifying needed office upgrades that will improve efficiency and by providing training opportunities to staff that will enhance workplace skills, improve job performance, and increase employee satisfaction.

Adequate funding continues to be vital to support these goals and initiatives. Certain initiatives take minimal resources to implement, but others require additional resources to achieve. The OCWR believes that its current funding request is sufficient to continue to meet its mission and accomplish these goals, and anticipates success as outlined within the plan.

BUDGET DETAIL

The OCWR administers one major program, the provisions of the CAA. The Act has dual emphases on dispute resolution and compliance activities.

The program is comprised of five primary and three supporting functional areas, within which the activities of the OCWR are performed. The main functional areas are:

- ❖ the dispute resolution process;
- ❖ inspections and investigations under the occupational safety and health and disability access sections of the CAA;
- ❖ labor relations investigation and administration;
- ❖ education and outreach;
- ❖ reports and recommendations to Congress;
- ❖ budget and fiscal operations;
- ❖ information technology; and
- ❖ office administration, representation, and relations with Congress and agencies.

OVERVIEW OF FISCAL YEAR 2021 BUDGET REQUEST

The OCWR is requesting \$7,500,000 for FY 2021 operations, which is \$1,167,330 or 18% above the FY 2020 enacted level.

The requested funding is necessary for the OCWR's:

- ❖ mandated operations, including confidential advising, preliminary hearing officer review, hearings, mediations, safety and health inspections, unfair labor practice investigations, Americans with Disabilities Act inspections, and educational activities;
- ❖ funding for 31 FTE positions; and
- ❖ funding to further implement and administer the changes set forth in the Reform Act.

The OCWR is requesting that a total of \$1,000,000 remain available until September 30, 2022, for the services of essential contractors, including hearing officers, mediators, and safety and health inspectors, and to design and conduct a climate survey of the legislative branch employees to deploy in December 2021.

Summary of FY 2021 funding request - \$7,500,000

11: Personnel - \$3,583,958
 12: Benefits and Other Personnel Compensation - \$1,137,042
 21: Travel - \$46,000
 23: Space Rental/Communications/Misc. Charges - \$48,000
 24: Printing and Reproduction - \$53,000
 25: Contractual Services - \$2,304,000
 26: Supplies, Materials, and Publications - \$28,000
 31: Equipment - \$300,000

DETAILED FUNDING REQUESTS BY OBJECT CLASSIFICATION

OBJECT CLASS 11: Personnel

For FY 2021, the OCWR requests a budget of **\$3,583,958** for salary expenses associated with full-time employees and the OCWR Board of Directors. This is the projected cost for 31 FTEs, inclusive of a 3.0% across-the-board pay increase, if such an increase is authorized for executive branch agencies, along with performance-based increases and awards. This is an increase of \$434,647 above FY 2020.

OBJECT CLASS 12: Benefits and Other Personnel Compensation

A total of **\$1,137,042** is budgeted for other personnel benefits during FY 2021. Personnel benefits are a direct function of the amount of budgeted salary/wages and inclusive of transit benefits, benefit program price increases and the growing rate of participation in the FERS retirement system. This is an increase of \$159,262 above FY 2020.

OBJECT CLASS 21: Travel

The Board of Directors of the OCWR includes four out-of-town members who must travel for Board meetings. As required, the members receive reimbursement of travel expenses associated with the regular meetings required to conduct OCWR business. **\$35,000** is budgeted for travel by the OCWR Board members in FY 2021. The balance for staff travel, both local and long distance is budgeted at **\$11,000** for a total of **\$46,000**, which is the same as the FY 2020 level.

OBJECT CLASS 23: Communications/Miscellaneous Charges

The OCWR's budget includes funding for telephone service during FY 2021. This estimate is based on historical data as well as costs associated with the need to maintain responsibility for the OCWR's total telephone expenditures. This amount also includes the cost of conference calls for Board activities, and any communications in support of the OCWR activities outside the Washington metro area. The staff and Board members continue to provide outreach and information to the OCWR's service constituency through printed publications, e-mail, social media, newsletters, and reports. Although the OCWR distributes some publications via e-mail, postage is still necessary for the circulation of certain OCWR informational reports and notice of rights posters. In addition, occasionally, business practices require the use of local delivery and messenger services to ensure prompt and secure delivery of documents to other organizations and stakeholders serviced by the OCWR. The OCWR is requesting **\$48,000** for this purpose in FY 2021, the same as the FY 2020 level.

OBJECT CLASS 24: Printing and Reproduction

The OCWR has budgeted **\$53,000** in FY 2021 for printing costs. These costs will include printing, to include in-person training materials, brochures describing OCWR programs, notice of rights posters, statutorily mandated reports such as the Annual Report, the 102(b) Report, and biennial ADA and OSH reports, and other public information and materials for consumption by the OCWR's service constituency. In addition, it is OCWR policy to produce, upon request, materials in braille, large print, or compact disc to accommodate members of the public who are visually and/or hearing impaired. This figure also includes ongoing costs associated with reprinting and publishing all our materials as a result of the change to the name of our Office. This is the same as the FY 2020 level.

OBJECT CLASS 25: Contractual Services

The OCWR contracts with multiple agencies and private vendors for many services that are typically performed in-house at larger agencies. These contracts include items such as payroll, financial services, human resources, and information technology. As such, the projected cost of general support services is \$314,000. The OCWR also anticipates the need to continue to overhaul its e-filing system and to enhance and migrate its facilities management assistant (FMA) system used by the General Counsel in its safety and accessibility inspections for \$665,000.

The OCWR has budgeted \$1,325,000 (\$325,000-1yr, \$1,000,000-2yr) for program-specific services. The OCWR's priorities are derived from recommendations developed by OCWR Board members and stakeholders, and are based upon the goals and objectives outlined in the OCWR's Strategic Plans. The judicious use of external contractors substantially enhances our capability to meet our basic mandate of advancing safety and health, public access, and workplace rights in the legislative branch.

The OCWR is requesting \$325,000 for FY 2021 to update current and create additional Learning Management System training modules, to develop various other instructional materials, and to expand outreach efforts increasing awareness of rights and OCWR services, in light of the Reform Act's mandate that covered offices develop and implement a program to train and educate employees of the rights and protections under the CAA.

The OCWR is also requesting that a total of \$1,000,000 remain available until September 30, 2022, for the services of essential contractors, including hearing officers, mediators, safety and health inspectors, and consultants, as well as contracting services related to the development and implementation of the biennial climate survey of the legislative branch required by the Reform Act. The time period allows maximum flexibility given the dynamic environment associated with the occupational safety and health and dispute resolution mandates of the CAA. The safety and health duties of our OSH program can be greatly affected by incidents, requests from covered employees or employing offices, and hazards arising from the aging structures on Capitol Hill. In addition, dispute resolution can be especially unpredictable given the Office's duty to provide services to all employees and covered parties who seek services from the OCWR. Furthermore, as predicted, the costs associated with hearing officer services will continue to increase due to the new requirement in the Reform Act that all claims undergo a preliminary review by a hearing officer. Costs of mediations and hearings can only be controlled in a limited manner due to the complexity and breadth of each individual claim.

This total amount, **\$2,304,000**, for contractual services represents \$393,421 increase over FY 2020.

OBJECT CLASS 26: Supplies, Materials, and Publications

The OCWR's budget includes **\$28,000** for the purchase of supplies, materials, and publications for FY 2020. The amount includes costs for supplies for mailing and copying, along with ordinary office supplies. The OCWR continues to streamline use of paper and other resources in favor of technological solutions to report-generation, distribution, and storage. Also budgeted are funds for the purchase of library materials, and for subscriptions to relevant scientific, technical, and policy-oriented publications. The OCWR subscribes to various electronic information services to provide Board members and staff with current technical and legal information. This is the same as FY 2020.

OBJECT CLASS 31: Equipment

The OCWR is requesting **\$300,000** for equipment in FY 2021. The requested funding supports the purchase of various software requirements, system and network upgrades, and safety and health testing equipment. The OCWR will continue its modernization plan to upgrade the IT capabilities of the OCWR in an integrated,

efficient, and cost-effective manner that reflects the Office's growth and adherence to its Strategic Plan. The OCWR will continue to implement a system to improve security on each staff member's computer in line with government-wide security standards. This is \$180,000 more than FY 2020.

BUDGET REQUESTS BY PROGRAM

Board of Directors - OCBD

Mandate: Congressional Accountability Act, Section 102(b)

The Board shall review provisions of Federal law (including regulations) relating to (A) the terms and conditions of employment (including hiring, promotion, demotion, termination, salary, wages, overtime compensation, benefits, work assignments or reassignments, grievance and disciplinary procedures, protection from discrimination in personnel actions, occupational health and safety, and family and medical and other leave) of employees, and (B) access to public services and accommodations . . . [and] the Board shall report on (A) whether or to what degree the provisions described [above] . . . are applicable or inapplicable to the legislative branch, and (B) with respect to provisions inapplicable to the legislative branch, whether such provisions should be made applicable to the legislative branch. The presiding officers of the House . . . and the Senate shall cause each such report to be printed in the Congressional Record and each such report shall be referred to the committees of the House . . . and the Senate with jurisdiction. 2 U.S.C. § 1302(b).

The OCWR is an independent, impartial, non-partisan office with a five-member, part-time Board of Directors. Board members are appointed jointly by the majority and minority leadership of both the House of Representatives and the Senate. Because the OCWR, in administering the CAA, performs the job of multiple agencies in the executive branch, including the Equal Employment Opportunity Commission, the Department of Justice, the Department of Labor, and the Federal Labor Relations Authority, all current Board members are attorneys who have extensive training and experience in the application of the rights, protections, and remedies under the labor and employment laws made applicable to the legislative branch by the CAA.

The CAA provides for ongoing review of the workplace laws that apply to Congress. Section 102(b) of the CAA therefore requires the Board to report to each Congress on: first, whether or to what degree provisions of federal law relating to terms and conditions of employment and access to public services and accommodations are applicable to the legislative branch; and second, with respect to provisions not currently applicable to the legislative branch, whether such provisions should be made applicable to the legislative branch. Under section 304 of the CAA, 2 U.S.C. § 1384, the Board is also required to submit proposed regulations to Congress to ensure that regulations for the legislative branch are substantially identical to those promulgated by the executive branch. Board members also provide direction and guidance to the appointed staff of the OCWR, and they offer their legal expertise to the congressional community on labor and employment issues.

The Board also acts as a reviewing body for claims that are appealed from the OCWR hearing officers under its ADR program. In FY 2019, the Board reviewed five matters: two petitions for review of decisions of hearing officers, and three matters concerning labor-management relations. Final decisions of the Board are published on our website at: <https://ocwr.gov>.

Fiscal Year 2021 Budget Request

The OCWR is requesting a total of **\$35,000** for non-personnel services for FY 2021 for the Board of Directors. This total reflects an analysis of the requirements to perform basic functions and changes in requirements.

Executive Director - OCED

Mandate: Supports Office of Congressional Workplace Rights Core Functions

The Executive Director's office is responsible for overall office supervision, personnel, and budget function, oversight of confidential advising, preliminary review of claims, mediations, and hearings, and education and outreach. The Executive Director also covers representation and congressional relations, which includes communication and consultation with Appropriations and Oversight Committees, congressional leadership, and other legislative branch agencies. In addition, the Executive Director provides support for the Board of Directors.

As stated, the Reform Act also enacted many important statutory changes that dramatically expanded the OCWR's duties and responsibilities, including substantially modifying the administrative dispute resolution process under the CAA. Those changes included: creating additional procedures for preliminary hearing officer review of claims; developing and implementing procedures for current and former Members of Congress to reimburse awards or settlement payments resulting from harassment or retaliation claims; developing and implementing procedures for employing offices to reimburse payments resulting from specified claims of discrimination; renaming our office as the Office of Congressional Workplace Rights; extending CAA protections to unpaid staff, including interns, detailees, and fellows, as well as previously exempt employees; significantly expanding OCWR reporting obligations; developing and administering a biennial climate survey of all legislative branch employees to collect information on the workplace environment and attitudes regarding sexual harassment; and creating a program and securing space to permanently retain records of investigations, mediations, hearings, and other proceedings.

Consistent with the requirements of the Reform Act, in FY 2020 the OCWR launched the first workplace climate survey in the legislative branch, which included questions about respondents' attitudes toward sexual harassment. In coordination with the Committee on House Administration, the Senate Committee on Rules and Administration, and the Committee on Homeland Security and Government Affairs, the Office designed content, methodologies, and survey questions covering the congressional workplace. Although the initial survey will close in FY 2020, the OCWR anticipates ongoing costs in 2021 in follow-up and preparation for a subsequent biennial survey in 2022.

In FY 2019, the OCWR convened a Stakeholder Summit for employee and employing office representatives to discuss changes under the Reform Act. The event was well-attended and well-received. Stakeholders were given the opportunity to interact and ask questions of OCWR staff, mediators, and hearing officers. The OCWR also held its annual Mediators and Hearing Officers Summit during which distinguished third-party neutrals and staff discussed issues and best practices, and shared their experiences in processing, mediating, and adjudicating cases under the new procedures set forth in the Reform Act. With the support of key members of the OCWR staff and our Board of Directors, the OCWR is experiencing no backlog in case processing and enjoys a 100% affirmance rate in employment cases by the U.S. Court of Appeals for the Federal Circuit.

The majority of changes recommended in the Executive Director's previous written testimony and the Board's 102(b) reports to Congress were adopted in the Reform Act, and implementation on these changes required, among other things, the drafting and promulgation of new Procedural Rules. This was accomplished through public notice and comment, and the new Procedural Rules became effective on June 19, 2019.

Last year, the OCWR anticipated that the most costly and laborious tasks called for in the Reform Act would be the design, development, and implementation of the secure e-filing case management system and the

biennial climate survey of the legislative branch. Although the OCWR used FY 2019 funds for the initial design and development of the e-filing system and climate survey, we anticipate ongoing costs associated with administering the climate survey in the legislative branch every 2 years. The OCWR also anticipates ongoing costs associated with the migration of the facilities management assistant system used by the General Counsel in its safety and accessibility inspections, discussed below.

Fiscal 2021 Budget Request

The OCWR is requesting a total of **\$502,000** for non-personnel services for FY 2021 for the Executive Director Program. This total reflects an analysis of the requirements to perform basic functions and changes in requirements.

Education and Information (Outreach) - OCEI

Mandate: Congressional Accountability Act, Section 301(h)

...The Office shall...carry out a program of education for Members of Congress and other employing authorities of the legislative branch of the Federal Government respecting the laws made applicable to them and a program to inform individuals of their rights under laws made applicable to the legislative branch... 2 U.S.C. § 1381.

The OCWR has a statutory mission to educate Members of Congress and legislative branch employees on their rights and responsibilities under the CAA. Through its education and training program, the OCWR promotes adherence to the law and encourages a strong culture of respect and cooperation among co-workers in the legislative branch.

An increased demand from covered employing offices for in-person and online training on the CAA and the OCWR procedures continued in FY 2019. Following the passage of the CAA Reform Act, the OCWR created and disseminated revised educational materials informing the covered community of the CAA reforms including the revised administrative dispute resolution (ADR) process. The OCWR enhanced its curriculum to include related courses on preventing unconscious bias in workplace decision-making, and bystander intervention techniques to provide staff valuable tools to recognize and prevent violations of the CAA. Because the Reform Act now requires all employing offices in the legislative branch to develop programs of education and training for their employees, our role in producing and disseminating these resources is even more vital.

In FY 2019, the OCWR delivered training in person, online, and via video conferencing to legislative branch employees throughout the country, including unpaid staff. Training was provided at the request of employing offices, and the OCWR conducted in-person seminars open to all staff seeking to learn more about their rights and responsibilities under the CAA. In addition, the OCWR regularly presented at the District and State Staff Institute sponsored by the Congressional Research Service for out-of-area employees, and sponsored an award ceremony recognizing legislative branch offices that met important safety criteria.

Online training modules promoting awareness and understanding of the workplace provisions, including protection from sexual harassment, discrimination, and reprisal, are available on the OCWR website, and our monthly publications and quarterly electronic newsletters keep the congressional community up to date on developments in the areas of safety and health and workplace rights. The OCWR's website also enables legislative branch staff to securely file confidential claims with the OCWR alleging violations of the CAA.

Before the implementation of the revised administrative dispute resolution process, the OCWR trained its mediators and hearing officers to ensure they were fully aware of the application of the provisions of the CAA Reform Act and the OCWR's new Procedural Rules.

As required by the CAA Reform Act, in FY 2019 the OCWR created and distributed for posting more than 4,000 notices informing legislative branch employees of their rights under the CAA. The procedural changes resulting from the Reform Act obligated the OCWR to revise and reissue training materials, Procedural Rules, and its website content, as well as to ensure equal access to OCWR services and resources by all state and district staff, as required by the Reform Act.

To ensure that the legislative branch community was aware of the new provisions of the Reform Act, the OCWR created and uploaded to its website a brief video explaining the changes effected by the CAA reforms, posted updated FAQs on its website, and disseminated to covered employees e-newsletters and

printed materials explaining the changes. In FY 2019, the OCWR also developed an orientation video explaining the substantive provisions of the CAA and the revised ADR process to resolve claims of violations of the Act.

In FY 2020, the OCWR continues to provide information and training opportunities to the covered community, and it is completing revisions of all of its educational materials including its website and print content. The OCWR will further enhance its program of education by including materials that promote workplace performance and satisfaction in accordance with the CAA protections.

Providing educational materials and outreach opportunities through consistent online and in-person training initiatives, including the development of dynamic and innovative course curriculum, print, online, and video training materials, will require substantial funds in FY 2021.

Fiscal Year 2021 Budget Request

The OCWR is requesting a total of **\$370,000** for non-personnel services for FY 2021 for the Education and Information (Outreach) Program. This total reflects an analysis of the requirements to perform basic functions and changes in requirements.

General Counsel - OCGC

Mandate: Congressional Accountability Act, Sections 220 and 302

The rights, protections, and responsibilities established under sections 7102, 7106...and 7131 of title 5 shall apply to employing offices and to covered employees and representatives of those employees. 2 U.S.C. § 1351.

... The General Counsel shall... assist the Board and the Executive Director in carrying out their duties and powers, including representing the Office in any judicial proceeding under this chapter. 2 U.S.C. § 1382(c)(3).

The Office of General Counsel (OGC) is responsible for inspecting all facilities in the legislative branch for Occupational Safety and Health (OSH) violations at least once each Congress. The OGC is also responsible for inspecting the public areas of all facilities in the legislative branch for compliance with Titles II and III of the Americans with Disabilities Act (ADA) at least once each Congress. The OGC is further responsible for investigating allegations of OSH, ADA, and unfair labor practice (ULP) violations filed under sections 210, 215 and 220 of the CAA (2 U.S.C. §§ 1331, 1341 and 1351), and for filing and prosecuting complaints of OSH, ADA and ULP violations. The OGC must also furnish advice to and provide representation for the Board of Directors and the Executive Director, including representing the Board and the Office in the U.S. District Courts and U.S. Courts of Appeal.

Section 220 of the CAA makes the Federal Service Labor-Management Relations Statute (FSLMRS) applicable to covered employees and employing offices within the legislative branch, and prohibits unfair labor practices by both employing offices and labor organizations. The CAA gives the OGC investigative and prosecutorial authority equivalent to that granted by the FSLMRS to the General Counsel of the Federal Labor Relations Authority (FLRA) with respect to charges of ULPs. Complaints filed by the OGC are heard by hearing officers, reviewed by the OCWR Board, and may be appealed to the U.S. Court of Appeals for the Federal Circuit. The OCWR has jurisdiction over approximately 20 bargaining units, most of which are comprised of employees of the Office of the Architect of the Capitol. Many employees of the U.S. Capitol Police (USCP), and certain employees of the House of Representatives and the Senate, are also represented by labor organizations. The Fraternal Order of Police (FOP) and the Teamsters represent USCP employees. AFSCME Council 26 represents the most bargaining units, followed by the NABET-CWA and the Teamsters. A wide variety of employees are unionized, including police officers, masons, carpenters, electricians, plumbers, freight and material handlers, visitor guides and visitor assistants, power plant laborers, photographers and videographers, and clerical and administrative workers.

The CAA provides an administrative process to resolve complaints filed by employees, unions, or employing offices under certain other provisions of the Act. The final administrative step in the process involves an appeal to the OCWR Board of Directors, which issues a written decision. Under certain circumstances, a party may appeal this decision to the U.S. Court of Appeals for the Federal Circuit. The OGC represents the Board of Directors in such appeals. During FY 2019 the OGC defended two labor-management relations cases and one case arising out of the ADR process; another appeal was dismissed. In all three of the cases decided on appeal, the Federal Circuit affirmed the Board's decision. The OGC received and investigated a total of 5 new ULP charges during FY 2019, and closed 5 other cases from previous fiscal years.

Fiscal Year 2021 Budget Request

The OCWR is requesting a total of **\$0** for non-personnel services for FY 2021 for the General Counsel Program. This total reflects an analysis of the requirements to perform basic functions and changes in requirements consistent with current law.

Mediation and Hearings - OCMH

Mandate: Congressional Accountability Act, Sections 401-416

... the procedure for consideration of alleged violations of part A of title II consists of ... mediation ... and election ... of ... a formal complaint and hearing ... subject to Board review ... 2 U.S.C. § 1401.

The OCWR administers a multi-step ADR program established by Congress to address and resolve claims arising under the CAA. The OCWR also regularly provides, on request, general information on such matters as the rights and responsibilities created by the CAA and the Reform Act, the applicability of relevant CAA and Reform Act provisions, possible avenues for ADR without initiating formal proceedings, and the formal dispute resolution process under the CAA and Reform Act.

ADR Process

The long-standing process for resolving claims of violations under the CAA has changed dramatically as a result of the Reform Act. The new process, which took effect on June 19, 2019, is outlined below.

Confidential Advising: Covered employees may contact the OCWR before filing a claim to seek information and advice about their rights and the procedures under the CAA. The OCWR offers privileged and confidential advising services to covered employees at no cost to them. The Confidential Advisor functions independently and is an experienced employment law attorney who provides information to covered employees about their rights and responsibilities under the CAA, and the procedural options available under the CAA to resolve their workplace disputes. The OCWR's Confidential Advisor is not the employee's attorney or advocate.

Filing a Claim: Regardless of whether an employee wishes to continue with proceedings through the OCWR's ADR program or file a civil action in federal court, the employee must first file a claim form with the OCWR. Employees may use OCWR's online filing system available at <https://socrates.ocwr.gov/>, or use other methods such as e-mail, facsimile, or hand-delivery to submit a downloadable claim form.

Once the claim is received, the OCWR records it and provides the claimant with information about his or her rights under the CAA. The OCWR transmits a copy of the claim to the head of the employing office and the employing office's representative immediately after the claim is filed. If a claim asserts that a Member of the House of Representatives (including a Delegate or Resident Commissioner to Congress) or a Senator personally committed unlawful harassment or reprisal for filing a claim of harassment, the OCWR notifies the Member of Congress that he or she has the right to intervene and participate in OCWR proceedings concerning the claim.

Preliminary Review: Each claim undergoes a preliminary review by an independent preliminary hearing officer. The preliminary hearing officer issues a report on the preliminary review, which determines whether the claimant is a covered employee who has stated a claim for which relief may be granted under the CAA. The report also must be submitted to the House or Senate ethics committee whenever a claim asserts that a Member of the House or a Senator personally committed unlawful harassment or reprisal for filing a claim of harassment.

If the preliminary hearing officer determines in the report that the claimant is not a covered employee who has stated a claim for which relief may be granted under the CAA, the claimant is notified that an administrative hearing at the OCWR is not available, and the only way to pursue the case is to file a civil

action in Federal district court. If the preliminary hearing officer determines that the claimant is a covered employee who has stated a claim for which relief may be granted under the CAA, the claimant may request an administrative hearing with the OCWR. The claimant may choose to file a civil action instead, and cannot proceed with the OCWR's ADR process once a civil action is filed.

Mediation: OCWR mediation is voluntary, may be requested by either the claimant or the respondent, and may proceed only if the non-requesting party agrees. After a claim is submitted, the OCWR must notify the parties about the mediation process and applicable deadlines. The mediation period lasts for 30 days. Any processing deadlines related to claims being mediated that have not passed by the first day of mediation are stayed during mediation.

Administrative Hearing: A claimant may proceed to an OCWR administrative hearing only if the preliminary hearing officer determines that the claimant is a covered employee who has stated a claim upon which relief may be granted. Once a hearing has been requested, an independent merits hearing officer, who cannot be the same individual who conducted the preliminary review, is assigned to conduct the hearing.

Appeals: After an administrative hearing is conducted, the merits hearing officer issues a decision. If any party is dissatisfied with the merits hearing officer's decision, that party may ask the OCWR's Board of Directors to review the decision. After its appellate review, the Board issues a written decision, which includes its reasoning for the decision. If a party is dissatisfied with the Board's ruling, that party may appeal the Board's decision to the U.S. Court of Appeals for the Federal Circuit for further review.

Awards, Penalties, and Attorney's Fees: Depending on the law and the facts in the case, the merits hearing officer, the OCWR's Board of Directors, or a Federal court may order monetary awards and other appropriate remedies for the prevailing party, such as reinstatement, promotion, or back pay. Attorney's fees, expert witness fees, and certain other costs also may be awarded. No civil penalties or punitive damages may be awarded for any claims under the CAA.

Claim Processing and Adjudication

In FY 2019, before the enactment of the Reform Act, covered employees filed 65 formal requests for confidential counseling, 55 requests for mediation, and 14 administrative complaints. Some cases that went through the dispute resolution process were formally settled at various stages in the process, including in federal court. The OCWR's Board of Directors reviewed five matters on appeal from decisions of hearing officers and arbitrators, and requests for review of negotiability issues. The OCWR's General Counsel defends any Board of Directors' decisions that are appealed to the U.S. Court of Appeals for the Federal Circuit.

The OCWR continues to maximize its resources by maintaining a flat rate of pay for contract mediators, a standardized hourly fee for hearing officers, and rate limitations for other outside service providers. OCWR staff continue to avail themselves of valuable training, often using low or no-cost services provided by legislative or executive branch agencies.

Fiscal Year 2021 Budget Request

The OCWR is requesting a total of **\$450,000** for non-personnel services for FY 2021 for the Mediation and Hearings Program. This total reflects an analysis of the requirements to perform basic functions.

FY 1997 - FY 2019 Comparison

	Calls for Information	Requests for Confidential Counseling	Requests for Confidential Mediation	Administrative Complaints Filed
FY 1997	1,716	165	158	6
FY 1998	961	68	56	8
FY 1999*	1,098	323	49	14
FY 2000	611	75	329	3
FY 2001*	595	430	386	10
FY 2002	543	77	54	12
FY 2003	497	92	70	8
FY 2004	593	84	76	5
FY 2005	476	60	45	9
FY 2006	511	54	52	7
FY 2007	475	52	50	7
FY 2008	476	82	39	13
FY 2009	263	108	75	10
FY 2010	277	105	86	9
FY 2011	299	142	116	12
FY 2012	263	83	66	14
FY 2013	260	81	76	11
FY 2014	302	57	25	9
FY 2015	300	63	47	13
FY 2016	162	49	42	17
FY 2017	189	47	30	5
FY 2018	777	72	47	4
FY 2019	341	65	55	14

* Numbers include multiple filings arising from the same dispute.

OCWR Activity for Claims Filed after June 19, 2019

Requests for Information	94
Requests for Confidential Advising	35
Claims Filed 6/19/19 – 12/31/19	20
Preliminary Hearing Officer Assigned	18
Civil Actions Filed	2
Mediation Requests Filed	7
Requests for Administrative Hearing/Merits Hearing Officer Assigned	11

Safety and Health - OCSH

Mandate: Congressional Accountability Act, Sections 215 and 210

Each employing office and each covered employee shall comply with the provisions of section 5 of the Occupational Safety and Health Act of 1970... 2 U.S.C. § 1341.

The rights and protections against discrimination in the provision of public services and accommodations established by... the Americans with Disabilities Act of 1990... shall apply to the entities listed... 2 U.S.C. § 1331.

Safety and Health – Periodic Inspections: The Act requires the Office of the General Counsel of the OCWR (OGC) to inspect all covered facilities in the legislative branch for compliance with occupational safety and health (OSH) standards at least once each Congress, and to report the findings to Congress. Approximately 30,000 legislative branch employees are protected by the CAA's OSH standards, both in the Washington, D.C. metropolitan area and in district and state offices.

Requests for Safety and Health Inspections: The Act's safety and health provisions give covered employees and offices the right to request inspections of potentially hazardous conditions in work areas. When a request for inspection is received, the OGC initiates an investigation, after which it sends a detailed report to the employing office that describes the conditions found, reports the results of any tests performed, and explains steps needed to remedy any identified hazards. In the event the responsible employing office fails to abate a hazard within a specified time, the OGC may issue a citation or notification, and, when necessary, file a complaint.

Safety and Health Technical Assistance: Like the Occupational Safety and Health Administration (OSHA) in the Executive Branch, the OGC provides compliance assistance to employing offices and covered employees. The OGC also advises employing offices about interpretations of OSHA standards upon request, and provides information about proposed OSHA standards that affect their operations. In addition, the OGC assists employing offices with the development of programs to reduce occupational injuries and illnesses, and facilitates the development of emergency action plans.

Disability Access Inspections: Pursuant to section 210 of the Act, 2 U.S.C. § 1331, the OGC is required to conduct inspections of all covered legislative branch facilities at least once each Congress to determine compliance with the rights and protections against discrimination in the provision of public services and accommodations established by titles II and III of the Americans with Disabilities Act (ADA). Members of the public may request an investigation of conditions that they allege deny them equal access to legislative branch facilities and programs. The OGC is responsible for investigating charges of public access discrimination. If, upon investigation, the GC believes that barriers to access exist, he can refer the parties to mediation to resolve the dispute. If mediation is unsuccessful, the GC can file a complaint against the entity responsible for correcting the violation.

ADA Technical Assistance: The CAA authorizes the OGC to provide employing offices with technical advice to assist them in complying with disability access requirements. In addition, the OGC routinely answers questions from congressional offices and legislative branch employees regarding disability access laws. In the coming fiscal year, OCWR hopes to re-establish regular technical advisory conferences.

Occupational Safety and Health

The OGC exercises the authorities granted to the Secretary of Labor under the Occupational Safety and Health Act of 1970 (OSHAct) to inspect and investigate facilities where legislative branch employees are

working. The OGC may issue findings and citations to employing offices for violations of OSH standards and file complaints with the OCWR's Executive Director against employing offices if hazards have not been abated. The OGC also assists the Board of Directors of the OCWR to draft, propose, and adopt substantive regulations which must be the same as those issued by the Secretary of Labor except when modifications would be more effective for implementing the OSHA Act in the legislative branch.

OSH specialists in the OGC conduct biennial inspections, which are summarized in a biennial report. The OGC's biennial inspection program is risk-based, meaning that it focuses on inspecting and abating higher-risk hazards that pose the greatest risk of injury, illness, and death to employees. The CAA requires that, at least once each Congress, the OGC conduct inspections of all facilities of the House of Representatives, the Senate, the Office of Congressional Accessibility Services, the U.S. Capitol Police, the Congressional Budget Office, the Office of the Architect of the Capitol, the Office of the Attending Physician, the OCWR, the Library of Congress, and the Government Accountability Office. The CAA Reform Act expanded the Act's coverage to additional employing offices – the China Review Commission, the Congressional-Executive China Commission, the Helsinki Commission, and the Stennis Center for Public Service – and in the fall of 2019 the OGC conducted baseline wall-to-wall inspections of the facilities associated with those organizations.

In FY 2019, the OGC began its biennial inspections for the 116th Congress. These inspections again focused on higher-hazard areas, as well as special interest areas such as Members' offices, daycare facilities, and hearing rooms. In FY 2019, the OGC conducted inspections that encompassed, among others, the U.S. Botanic Garden, the Library of Congress's Jefferson, Madison, and Adams Buildings and other Library of Congress facilities, various U.S. Capitol Police workplaces, the Office of the Attending Physician, the Government Accountability Office, the House Members' offices, and other areas of the House Office Buildings. Finally, the OGC continued to evaluate all programs required under the OSH standards, including hazard communication, respiratory protection, personal protective equipment, permit-required confined spaces, and others.

The OGC inspections also include verification of the abatement status of the most serious hazards identified during the previous Congress. In opening conferences conducted with employing offices, the OGC provided a list of all open findings identified in our Facility Management Assessment database, and enlisted the assistance of employing offices to provide abatement status updates for all findings that were shown as open. The OGC also continued to inspect newly occupied or renovated facilities.

In FY 2019 the OCWR, in partnership with the National Safety Council (NSC), presented its Safety Recognition Awards to recognize those Member offices that were found to be hazard-free during the biennial OSH inspection for the 115th Congress, as well as those trade shops that were found to be free of physical hazards. The OCWR and NSC also presented Safety Advocate awards recognizing two individuals who have made substantial contributions to improving safety in legislative branch facilities. The OCWR will continue these award programs for the 116th Congress.

In addition to conducting on-site OSH inspections for all Member offices on Capitol Hill, the OCWR has expanded its OSH program for district and state offices by developing an online safety and health survey that focuses on fire and electrical safety hazards. Also under consideration are possible inspections of offices outside of the Washington, D.C. area. The OGC also continues to provide technical assistance to remote legislative branch facilities by responding to questions about possible workplace hazards and providing guidance on how to conduct self-inspections.

OSH specialists and attorneys in the OGC also investigate OSH issues raised in requests for inspection and provide technical assistance to employing offices. The OGC initiated investigations in 11 new OSH cases in FY 2019, which involved the Office of the Architect of the Capitol, the Library of Congress, the Capitol Police, and an office within the House of Representatives, and which concerned various issues such as indoor

air quality issues and potential exposures to lead and volatile organic compounds, as well as an eye injury suffered by a legislative branch worker. During FY 2019, the OGC closed four of those new cases along with eight other cases from previous fiscal years. The OGC also received ten inquiries regarding safety and health concerns that did not become cases, either because the issue was not within our jurisdiction or because the OGC was able to quickly resolve the matter by providing technical assistance.

In FY 2019, the OGC continued to work with the Office of the Architect of the Capitol and monitor its progress on the plans the OGC has approved to address the fire safety hazards in the Russell, Cannon, U.S. Capitol, and Library of Congress buildings.

As part of the OCWR's education and outreach mandate, in FY 2019, the OGC continued to expand its efforts to educate the legislative branch community regarding some of the safety and health topics that may affect covered employees. The OSH professionals continue to create and update "Fast Facts" and other educational documents, and to provide targeted training to covered employees through webinars.

Public Access for Persons with Disabilities

The CAA requires the OGC, on a regular basis and at least once each Congress, to inspect the facilities of each office of the Senate, each office of the House of Representatives, each joint committee of Congress, the Office of Congressional Accessibility Services, the U.S. Capitol Police, the Congressional Budget Office, the Office of the Architect of the Capitol, the Office of the Attending Physician, and the OCWR, to ensure compliance with the rights and protections against discrimination in public services and accommodations established under Titles II and III of the Americans with Disabilities Act of 1990 (ADA). The CAA Reform Act expanded the CAA's coverage to additional employing offices – the China Review Commission, the Congressional-Executive China Commission, the Helsinki Commission, and the Stennis Center for Public Service – which will also require inspections to identify any barriers to access needing removal.

To conduct these inspections, the OGC uses contractors who specialize in identifying and removing barriers to access, as well as some of the same OSH specialists who conduct safety and health inspections. The OSH specialists may report obvious ADA issues observed during an OSH inspection, and also conduct joint ADA and OSH inspections when this will be more efficient. In FY 2019, the OGC began its biennial inspection for the 116th Congress, focusing on the exhibit and display areas on Capitol Hill, the U.S. Capitol Police Detention Center, and medical clinics of the Office of the Attending Physician and the Library of Congress. The inspections focused on the publicly accessible spaces in these facilities. The OGC also looked at ADA access issues in the public areas of Members' offices while performing the OSH inspection of those offices.

During FY 2019 the OGC also investigated three complaints involving ADA access issues. These cases involved a wheelchair lift, bathroom accessibility, and accommodations for the hearing impaired at the Library of Congress's National Book Festival. One of those cases was closed in FY 2019 and the other two remain open while the responsible employing offices work to remove the identified barriers to access. The OGC also received nine inquiries regarding ADA compliance issues that did not become cases, either because the issue was not within the OCWR's jurisdiction or because the OGC was able to quickly resolve the matter by providing technical assistance.

Fiscal Year 2021 Budget Request

The OCWR is requesting a total of **\$150,000** for non-personnel services for FY 2021 for the Safety and Health Program. This total reflects an analysis of the requirements to perform basic functions.

Information Systems (Operations) - OCSY

Mandate: Supports OCWR Core Functions

The OCWR administers a local area network, inclusive of personal computers for employees, a number of on-site contractors, and the hardware and software required to support them. The Office also maintains telecommunications linkages with the Library of Congress, the National Finance Center, a third-party hosted cloud database system, and an off-site location that serves as the critical strategic component of our IT Service Continuity and Disaster Recovery plan.

As mandated by the Reform Act, the OCWR successfully launched its secure online claims reporting and tracking e-filing system in June 2019 on a compressed 6-month timeline, which included securing a new domain for the OCWR and implementing related website and domain changes. Several changes to enhance the features and the functionality of the application were also deployed following best practices to coordinate and facilitate the testing and implementation of the changes across the development, staging, and production phases. Due to the compressed timeline, the OCWR utilized secure existing commercial software for the new e-filing system, adding a web interface for the claims intake process to facilitate secure online, web-based filing, as mandated by the CAA Reform Act.

In FY 2020 and FY 2021, the OCWR will be designing and developing the next generation of its web-based e-filing system, which will be even more secure, robust, and fault-tolerant, with state-of-the-art security measures built in at all layers of its infrastructure. This system will be designed, developed, and built from the ground up, using highly secure encryption at all components and across all layers of its infrastructure—including storage, database, application server, network, and the webserver. With the use of Artificial Intelligence and Machine Learning technologies, the system will be able to adapt to intelligently protect, detect, thwart, and respond to any malicious attack vectors. This system will also be resilient enough to withstand and continue to operate through most disaster scenarios.

The OCWR also plans to further enhance its IT security policy by adopting a Zero Trust (ZT) framework to protect high value assets. Other Federal agencies and commercial organizations are already adopting the principles of ZT security to modernize their security and IT environments and stay on top of the ever-evolving cybersecurity threat landscape. The OCWR will need to make significant investments in adopting the ZT security model.

The OCWR also implemented other key IT modernization projects in FY 2019, including purchasing and installing new laptop computers for all OCWR staff, and setting up new network printers that are highly secure by design. These machines will print only after the user scans his or her access badge and specifies and chooses the print job to be printed, and they offer a “secure print” feature which minimizes and eliminates inadvertent confidential/sensitive information leakage.

In late FY 2019, the OCWR also developed and began implementation of its plan for the upgrade of its Facility Management Assistant (FMA) program for Occupational Safety and Health (OSH) inspections. FMA currently runs on an obsolete and unsupported Microsoft platform. OCWR’s OSH team is working with management to identify the requirements of a Risk Management Suite (RMS) to meet its needs, to plan and design the system, to perform independent security categorization of the information contained in the current FMA system, and to import current FMA records into the new system. After successful upgrade to RMS, the plan is to migrate the new system to the LOC Data Center.

The Reform Act also mandates enhanced cybersecurity along with a GAO audit of the OCWR’s cybersecurity practices. We have already begun to make progress on these priority items, consistent with

our budget request and statutory authorization for the current fiscal year. As a result of our participation in the GAO audit, the OCWR has initiated the process of revising our IT systems project planning to ensure the development and implementation of policies and procedures incorporating key cybersecurity activities. We have created and will be filling the position of IT Security Project Manager to acquire the cybersecurity project management expertise needed to implement this recommendation and to ensure that sufficient time and resources can be dedicated to the development and implementation of these policies and procedures. We have also expanded the OCWR IT Director's role to formally include the functions of an IT Risk Executive and are in the process of establishing the roles and responsibilities. In FY 2020, the OCWR will work with the IT Security Project Manager and the IT Risk Executive to develop and implement oversight procedures for each of its externally-operated systems, and to develop and implement policies and procedures for managing cybersecurity risk.

The OCWR continues to utilize the Library of Congress as its service provider for operations, maintenance, and security of OCWR's IT systems, including security and support services. These services include User Access Management, Access provisioning, day-to-day IT Service Desk requests, and hardware and software maintenance, including the associated installation and configuration support. Additionally, the OCWR maintained separate secure data applications that house program-essential information.

To date, the OCWR has spent over \$500,000 toward updating its cybersecurity and it anticipates additional funding in FY 2020 and FY 2021 to go toward continued updates, maintenance and hosting of its e-filing system. However, the objectives of the program to protect and safeguard critical information assets can only be assured if it is continually monitored, reassessed and upgraded to meet or exceed industry standards. Thus, the integrity of the program depends upon ongoing funding in FY 2021 and beyond.

Fiscal Year 2021 Budget Request

The OCWR is requesting a total of **\$1,272,000** for non-personnel services for FY 2021 for the Information Systems Program. This total reflects an analysis of the requirements to perform basic functions and changes in requirements.

Awards and Settlements

Section 415 of the Act, 2 U.S.C. § 1415, established “an account of the Office in the Treasury of the United States for the payment of awards and settlements . . . under this Act,” and further authorized to be appropriated “such sums as may be necessary to pay such awards and settlements.” Section 415 stipulated that awards and settlements under the Act can only be paid from that account, which is to be separate from the operating expenses account of the OCWR established under section 305 of the Act. The Executive Director approves all such awards and settlements.

In FY 2019, a total of \$600,364 was awarded and disbursed under 16 awards and settlements made under section 415 of the CAA.

Settlements by Fiscal Year

Fiscal Year	Number of Settlements and Awards*	Total \$ Amount
1997	7	\$45,729
1998	16	\$103,180
1999	6	\$72,350
2000	16	\$55,638
2001	7	\$121,400
2002	10	\$3,974,077
2003	11	\$730,071
2004	15	\$388,209
2005	14	\$909,872
2006	18	\$849,529
2007	25	\$4,053,274
2008	10	\$875,317
2009	13	\$831,360
2010	9	\$246,271
2011	16	\$437,465
2012	12	\$426,539
2013	14	\$334,823
2014	11	\$806,450
2015	13	\$483,529
2016	14	\$573,929
2017	8	\$934,754
2018	10	\$338,186
2019	16	\$600,364

Monetary settlements may resolve multiple claims*

Budget Request Summary Tables**Appropriation Summary**

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request Appropriation	Change: FY 2019 Enacted to FY 2021 Request	Change: FY 2020 Enacted to FY 2021 Request
Salary & Benefits	\$3,473,263	\$4,127,091	\$4,721,000	\$1,247,737	\$593,909
General Expenses	\$1,859,407	\$1,205,579	\$1,779,000	(\$80,407)	\$573,421
Two Year (MH, SH)	\$1,000,000	\$1,000,000	\$1,000,000	\$0	\$0
Grand Total	\$6,332,670	\$6,332,670	\$7,500,000	\$1,167,330	\$1,167,330
FTE's	28	28	31	3	3

General Expenses Summary by Program

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request	FY 2019 to FY 2021 Change	FY 2020 to FY 2021 Change
OCBD	\$36,839	\$35,000	\$35,000	(\$1,839)	\$0
OCED	\$941,887	\$300,579	\$502,000	(\$439,887)	\$201,421
OCEI	\$316,730	\$370,000	\$370,000	\$53,270	\$0
OCGC	\$0	\$0	\$0	\$0	\$0
OCMH*	\$335,700	\$450,000	\$450,000	\$114,300	\$0
OCSH*	\$191,807	\$250,000	\$150,000	(\$41,807)	(\$100,000)
OCSY	\$1,036,444	\$800,000	\$1,272,000	\$235,556	\$472,000
Grand Total	\$2,859,407	\$2,205,579	\$2,779,000	(\$80,407)	\$573,421

Cost Summary by Object Classification

Object Class	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request	FY 2019 to FY 2021 Change	FY 2020 to
					FY 2021 Change
(11) Personnel	\$2,742,305	\$3,149,311	\$3,583,958	\$841,653	\$434,647
(12) Benefits and Other Personnel Compensation	\$850,115	\$977,780	\$1,137,042	\$286,927	\$159,262
(21) Travel	\$44,768	\$46,000	\$46,000	\$1,232	\$0
(23) Space Rental/ Communications/Misc.	\$48,461	\$48,000	\$48,000	(\$461)	\$0
(24) Printing and Reproduction	\$64,945	\$53,000	\$53,000	(\$11,945)	\$0
(25) Contractual Services	\$2,426,639	\$1,910,579	\$2,304,000	(\$122,639)	\$393,421
(26) Supplies, Materials and Publications	\$35,237	\$28,000	\$28,000	(\$7,237)	\$0
(31) Equipment	\$120,200	\$120,000	\$300,000	\$179,800	\$180,000
Grand Total	\$6,332,670	\$6,332,670	\$7,500,000	\$1,167,330	\$1,167,330



Congressional Budget Office

**The Congressional Budget Office's
Request for Appropriations for
Fiscal Year 2021**

JANUARY 2020

CONGRESS OF THE UNITED STATES



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The Congressional Budget Office's Request for Appropriations for Fiscal Year 2021

Overview of CBO's Budget Request for 2021

The Congressional Budget Office requests appropriations of \$57.3 million for fiscal year 2021. Of that amount, 91 percent would be for pay and benefits; 6 percent would be for information technology (IT), including purchases of commercial data; and 3 percent would be for training, expert consultants, office supplies, and other items. The requested amount represents an increase of \$2.4 million, or 4.3 percent, from the \$54.9 million provided to CBO for 2020.

That budget would let CBO fully implement the multiyear staffing plan that was the basis for the agency's funding increases in 2019 and 2020. The Congress increased CBO's budget in those years to bolster the agency's capacity to make its work transparent and responsive. The plan calls for CBO to increase its staffing during fiscal year 2020 to pursue that effort and then to remain at the higher staffing level in 2021. Maintaining that staffing level increases the funding required for 2021 (by \$0.3 million) because the seven staff members added in 2020 will begin work at various points throughout the year, and 2021 will be the first year in which the new staffing level will be in place for the entire year.

The proposed budget also includes \$1.7 million to cover increases in current employees' salary and benefits to keep pace with inflation and to accommodate a sharp increase in the contributions that CBO is required to make to the Federal Employees Retirement System (FERS). Because so much of CBO's budget is devoted to personnel costs, if actual funding proves markedly less than the proposed amount, CBO will have to shrink its staff below the levels envisioned under the multiyear plan, affecting its ability to make further strides related to transparency and responsiveness.

CBO's Budget Request and Its Consequences for Staffing and Output

In fiscal year 2021, CBO will continue its mission of providing objective, insightful, clearly presented, and timely budgetary and economic information to the Congress. The \$57.3 million requested would be used mostly for salaries and benefits for personnel.

Funding Request for Personnel Costs and Consequences for Staffing

CBO requests \$52.1 million for salary and benefits to support 264 full-time-equivalent positions (FTEs). That amount represents an increase of \$2.0 million, or 4.1 percent, from the \$50.1 million provided to CBO for fiscal year 2020.

Of the total requested amount:

- \$37.0 million would cover salaries—an increase of \$1.0 million, or 3 percent, from the amount provided for 2020. The requested increase would fund seven new staff members hired in 2020. It would also provide for performance-based salary increases for current staff in 2021 and an across-the-board increase of 3.0 percent for employees earning less than \$100,000. (That group of employees would also be eligible for performance-based increases, whereas employees earning \$100,000 or more would be eligible to receive only performance-based increases.)
- \$15.1 million would fund benefits—an increase of \$1.0 million, or 7 percent, from the amount provided for 2020. The requested increase would cover an increase in the cost of federal benefits and fund benefits for the seven staff members hired in 2020.

Funding Request for Nonpersonnel Costs

CBO requests \$5.2 million for costs other than personnel. Those funds would cover current IT operations—such as software and hardware maintenance, software development, purchases of commercial data, communications, and equipment purchases—and would pay for training, expert consultants, office supplies, travel, interagency agreements, facilities support, printing and editorial support, financial management operations (including auditing the agency's financial statements), interactive graphic tools, subscriptions to library services, and other items.

The requested amount is \$0.4 million, or 6.6 percent, larger than the amount provided for 2020. The increase would fund several initiatives. First, to improve its responsiveness, CBO plans to make greater use of expert consultants in high-priority research areas, such as health policy. Second, CBO plans to set up an internal IT system to track and manage documents, which will help streamline some aspects of the process by which the agency provides information to the Congress. Third, CBO requests that \$45,000 be appropriated as no-year funding (that is, funding that would remain available until it was exhausted), which would facilitate employees' attendance at important academic conferences that are held near the beginning of the fiscal year. The cost of those three initiatives would be partly offset by savings in IT and other areas.

Consequences for Output

The requested amount of funding would allow CBO to do the following for the Congress (see Table 1):

- Provide roughly 750 formal cost estimates, most of which will include both estimates of federal costs and assessments of the cost of mandates imposed on state, local, and tribal governments or the private sector;
- Fulfill thousands of requests for technical assistance, typically from committees and Members seeking a clear picture of the potential budgetary impact of proposals and variants of proposals before they introduce or formally consider legislation;
- Produce about 130 scorekeeping reports and estimates, including account-level estimates for individual appropriation acts at all stages of the legislative process, as well as summary tables showing the status of discretionary appropriations (by

appropriations subcommittee) and running totals on a year-to-date basis; and

- Publish about 70 analytic reports and papers—generally required by law or prepared in response to requests from the Chairs and Ranking Members of key committees—about the outlook for the budget and the economy, major issues affecting that outlook under current law, the budgetary effects of policy proposals that could change the outlook, and a broad range of related budgetary and economic topics in such areas as health care, defense policy, Social Security, and climate change.

The agency would also bolster its responsiveness and transparency by improving the coordination and integration of analysis performed by employees with expertise in multiple disciplines; organizing its staff to work on broader, shared portfolios; hiring expert consultants in areas of especially high demand, such as health policy; dedicating more resources to regularly reporting information that is requested by committees of jurisdiction; and dedicating more staff to creating publications that explain and graphically illustrate CBO's work.

The demands on the agency remain intense and strain its resources in many areas. For example, the workload associated with analyzing appropriation bills and related amendments continues to be heavy. Also, over the past year, CBO devoted extensive resources to analyzing legislation related to defense reauthorization, the September 11th Victim Compensation Fund, the pension benefit guarantee program, prescription drug pricing, and "surprise billing" by certain providers of medical services, among other things. CBO regularly consults with committees and the Congressional leadership to ensure that its resources are focused on the work that is of highest priority to the Congress. Even with high productivity by a dedicated staff, CBO expects that the volume of estimates and other analyses will fall short of the number of requests from committees and leadership and will fall considerably short of the number of requests from individual Members.

CBO's Role in Support of the Congress

CBO was established under the Congressional Budget Act of 1974 to provide information that would support the Congressional budget process and help the Congress make effective budget and economic policy. CBO's work follows processes specified in that law and subsequent

Table 1.

Products by the Congressional Budget Office, Calendar Years 2019 to 2021

Type of Product	2019, Actual	2020, Estimate	2021, Estimate
Formal Cost Estimates and Mandate Statements	711	750	750
Fulfilled Requests for Technical Assistance	Thousands	Thousands	Thousands
Scorekeeping Tabulations	About 130	130	130
Analytic Reports, Working Papers, and Testimony ^a	77	70	70

a. Includes CBO's major recurring reports providing budget and economic projections and analyses, the *Monthly Budget Review*, reports on a broad range of topics, testimonies, answers to questions for the record following a Congressional hearing, and working papers providing technical descriptions of official CBO analyses or presenting independent research by CBO analysts.

laws or developed over time by the agency in concert with the budget committees and the Congressional leadership. The agency's chief responsibility under the Budget Act is to help the budget committees with the matters under their jurisdiction. CBO also supports other Congressional committees—particularly the Appropriations, Ways and Means, and Finance Committees, as the Budget Act requires—and the leadership of the House and Senate.

The agency is committed to providing information that is:

- Objective and insightful—representing the consensus and diversity of views of experts from around the country and applying the best new evidence as well as the lessons of experience;
- Timely—responding as quickly as possible to the needs of the Congress; and
- Clearly presented and explained—so that policymakers and analysts understand the basis for the agency's findings and have the opportunity to question the analysis and methods used.

CBO strives to present the likely consequences of proposals being considered by the Congress so that lawmakers can make informed policy choices. In keeping with CBO's mandate to provide analysis that is objective and impartial, the agency makes no policy recommendations.

The agency employs analysts with many types of expertise who support the Congress in collaboration with managers and support staff. At the beginning of January 2020, 258 positions at CBO were filled (see

Table 2). Health care was the field that occupied the most analysts.

CBO's Goals for 2020 and 2021

In 2020 and 2021, to carry out its mission of serving the Congress, CBO will focus on meeting four goals:

- Providing the Congress with budget and economic information that is objective and insightful;
- Strengthening the agency's ability to respond to the Congress's requests for information in a timely way;
- Enhancing the transparency of the agency's work; and
- Improving the agency's internal operations.

Providing Budget and Economic Information That Is Objective and Insightful

In 2020 and 2021, CBO will ensure, as it has throughout its history, that its work is objective and insightful. The agency will continue its practice of making no policy recommendations and will continue to strive to present the likely consequences of alternative policy proposals.

Many of the products that CBO will produce in the next two years are specified by statute—for instance, the annual report on the outlook for the budget and the economy and cost estimates for bills reported by committees. The rest of CBO's analyses address issues being considered by the Congress, provide background information on budgetary and economic conditions that are relevant for the consideration of legislation, or explain the tools that the agency uses in making projections and estimates. Accordingly, the specific projects that CBO

Table 2.

Allocation of CBO Staff, January 2020

	Number of Staff
Principal Areas for Analysts	
Health	44
Education, Immigration, Income Security, Labor, and Retirement	29
National Security, Veterans' Programs, and International Affairs	25
Energy, Environment, Natural Resources, and Transportation	20
Taxation	20
Macroeconomics	19
Finance and Housing	12
Budget Outlook	10
Appropriations	8
Mandates	5
Commerce, Justice, Science, and General Government	2
Principal Types of Activities for Other Staff	
Information Technology	15
Editing and Publishing	12
Human Resources, Financial Management, and Other Support	11
General Management	8
Clerical Support	6
Website	6
Legal Services	5
Interns	1
Total	258

Source: Congressional Budget Office.

Numbers are positions filled. Although staff are assigned to a primary type of analysis or activity in this table, they often work in many areas.

undertakes this year and next will depend on budgetary and economic developments and on requests from Congressional committees and leadership. CBO regularly consults with Members and staff about what topics and types of analyses would be most valuable to the Congress, and the agency responds as rapidly as possible to Congressional interest.

The analyses requested by the Congress at times involve new and complex issues; even for recurring issues, a constantly changing context creates new challenges. CBO expends substantial resources to understand the substance underlying policy issues and estimate the impact of legislative proposals. Many of CBO's analyses involve assembling evidence from numerous sources, synthesizing the implications of that evidence, and building models to quantify effects of specific proposals and variations of them. To be ready to provide timely responses to requests, the agency makes ongoing investments in

that process. For example, CBO is currently improving its capability to analyze the effects of proposed legislation regarding health care and climate change on the economy and the federal budget. CBO is also improving its capability to analyze the effect of proposed legislation on people in different income groups.

PROVIDING FORMAL COST ESTIMATES AND MANDATE STATEMENTS

CBO will fulfill the statutory requirement to provide estimates of the cost of bills reported by committees. Most cost estimates will include estimates of the effects of intergovernmental and private-sector mandates.

FULFILLING REQUESTS FOR TECHNICAL ASSISTANCE

CBO will provide technical assistance to committees seeking information on the budgetary impact of proposals before they formally consider legislation.

PRODUCING ESTIMATES OF APPROPRIATION BILLS

CBO will estimate the budgetary impact of appropriation bills and provide regular status reports on discretionary appropriations and on the direct spending and revenue effects of legislation.

PUBLISHING REPORTS, WORKING PAPERS, AND TESTIMONY ABOUT THE BUDGET AND ECONOMY

CBO will produce comprehensive reports about the outlook for the budget and the economy, describing the agency's baseline budget and economic projections and the basis for them. Working papers will provide additional detail on the budgetary and economic trends underlying the projections. For example, CBO's analysts will prepare a working paper exploring trends in corporate structure and their effects on tax revenues. In addition, CBO will estimate the effects of the President's budgetary proposals on the budget and the economy. And the agency will publish a report about policy options that would reduce the budget deficit.

CBO will also report on the long-term budget outlook, examining how Social Security, Medicare, Medicaid, and other parts of the federal budget are likely to be affected over the coming decades by the aging of the population and growth in the cost of health care per person. And CBO will assess other long-term trends affecting the economic outlook and the budget. For instance, a working paper will examine the effect of climate change on economic output and the resulting effects on the federal budget over the next three decades.

Furthermore, the agency will provide in-depth analyses of various issues, responding to the interests and concerns of Congressional committees and leadership. Those analyses will address broad budget issues and an array of other topics, including health care, income security, education, macroeconomic conditions and problems, trade, financial markets, credit programs, taxes, national security, energy, the environment, and infrastructure.

Strengthening Responsiveness

CBO seeks to provide information to the Congress at the time when it is most useful. Depending on its purpose, that information takes a variety of forms, such as cost estimates, background information, and technical assistance. CBO completes nearly all formal cost estimates before the legislation at hand comes to a floor vote. In addition, the agency works to provide technical

assistance, reports, and other information to policymakers during earlier stages of the legislative process.

Beginning in fiscal year 2019, the Congress increased CBO's budget in part to allow the agency to implement a plan to strengthen its responsiveness to the Congress. To carry out that plan, CBO has expanded staffing in high-demand areas, such as health care and immigration. It has increased its use of assistant analysts, who can move from one topic to another to support more senior analysts when demand surges for analysis of a particular topic or when additional assistance is needed for a complicated estimate. In addition, CBO is engaging more expert consultants in complex areas, such as health policy, economic forecasting, and climate-related research. Finally, the agency is continuing to hire analysts to expand its use of team approaches, in which work on large and complicated projects is shared. That approach has been particularly effective in enabling CBO to produce timely analysis of legislation involving health care.

The budgetary increase that CBO is requesting would allow it to maintain such efforts. In 2020, CBO plans to hire additional staff who will increase the agency's expertise and modeling capability in several areas, notably health policy (including drug policy). CBO's goal is to have more staff with overlapping skills within and across teams. In some cases, those skills will consist of expertise related to particular topics, such as defense or transportation. In other cases, they will be more technical, such as the ability to design and improve simulation models. In a similar vein, CBO plans to invest additional resources in bolstering analysts' ability to coordinate work that requires expertise from across the agency. Another of CBO's goals is to dedicate more senior analysts to being responsible for projects that span multiple subject areas. Increasing the number of staff with broad and overlapping skills will allow the agency to be more nimble when responding to requests for information and analysis.

Enhancing Transparency

CBO works hard to make its analysis transparent, and the agency anticipates that almost all of its current employees will spend part of their time on such efforts in 2020 and 2021. CBO recently put in place a plan to strengthen those efforts. An important part of the plan was an increase in staffing in 2019 and 2020, which the Congress supported by increasing CBO's budget. The budget request for 2021 would allow the agency to complete the expansion plan and devote greater resources to

transparency efforts by fully funding the staff brought on board over the past two years.

During the next two years, CBO will undertake many activities to make its analysis transparent.

TESTIFYING AND PUBLISHING ANSWERS TO QUESTIONS

In 2020 and 2021, CBO expects to testify about its baseline projections and other topics as requested by the Congress. That work will involve presenting oral remarks, answering questions at hearings, and presenting written statements, as well as publishing answers to Members' questions for the record. CBO will continue to address issues raised as part of the oversight provided by the budget committees and the Congress generally. The agency also will provide responses to other questions from Members of Congress.

EXPLAINING ANALYTICAL METHODS

CBO plans to publish short reports providing general information to help Members of Congress, their staff, and others better understand its work. For example, a report will explain the scorekeeping guidelines that govern the way CBO's cost estimates treat certain types of legislative provisions. The agency will also release an updated description of the health insurance simulation model that will be used to help develop the baseline budget projections this year. And CBO will provide technical information about several methods used to analyze the macroeconomic effects of federal policies. That technical information will include working papers and, in some cases, the computer code used in models. Such efforts are particularly labor-intensive and will be accelerated as CBO increases staffing.

RELEASING DATA

In 2020 and 2021, CBO will maintain its practice of publishing extensive sets of data in conjunction with its major recurring reports, including detailed information about 10-year budget projections, historical budget outcomes, 10-year projections for trust funds, revenue projections by category, spending projections by budget account, tax parameters, effective marginal tax rates on labor and capital, and 10-year projections of economic variables, including the economy's potential (or sustainable) output.

The agency will also provide details about its baseline projections for the Pell grant program, student loan programs, Medicare, the military retirement program, the

pension benefit guarantee program, the Social Security Disability Insurance program, the Social Security Old-Age and Survivors Insurance program, the trust funds for Social Security, child nutrition programs, child support enforcement and collections, foster care and adoption assistance programs, the Supplemental Nutrition Assistance Program, the Supplemental Security Income program, the Temporary Assistance for Needy Families program, the unemployment compensation program, the Department of Agriculture's mandatory farm programs, federal programs that guarantee mortgages, programs funded by the Highway Trust Fund, benefits for veterans and military personnel stemming from the Post-9/11 GI Bill, and veterans' disability compensation and pension programs.

Other data will provide details about long-term budget projections, projections underlying Social Security estimates, more than a thousand expired or expiring authorizations of appropriations, and dozens of federal credit programs. When CBO analyzes the President's budget request, it will post a set of files providing estimates of the budgetary effects of specific proposals. Throughout the year, the agency will post the data underlying the figures in various reports.

ANALYZING THE ACCURACY OF CBO'S ESTIMATES

In 2020 and 2021, CBO will release reports analyzing the accuracy of its past projections of outlays, revenues, deficits, and debt. CBO will also reexamine the accuracy of its previous cost estimates in certain cases when the actual outcome of legislation can be determined; in other cases, the agency will explore whether new information sheds light on the original estimates. CBO will release a report on the accuracy of its economic forecasts. And the agency will compare its projections of federal subsidies for health insurance with actual amounts.

COMPARING CURRENT ESTIMATES WITH PREVIOUS ONES

In several of its recurring publications—reports about the budget and economic outlook, federal subsidies for health insurance, and the long-term budget outlook—CBO will continue to explain the differences between the current year's projections and those produced in the previous year. In its cost estimates, CBO will continue to identify related legislative provisions for which it has provided estimates in the recent past and explain the extent to which the provisions and estimates at hand are similar or different.

COMPARING CBO'S ESTIMATES WITH THOSE OF OTHER ORGANIZATIONS

CBO will compare its budget projections with the Administration's and its economic projections with those of private forecasters and other government agencies when possible. And in various reports, the agency will include comparisons of its estimates with estimates made by other organizations. In addition, when time does not allow for publication but interest is high, analysts will discuss such comparisons with Congressional staff.

ESTIMATING THE EFFECTS OF POLICY ALTERNATIVES

In 2020 and 2021, CBO will release new interactive products to help users understand the effects of potential changes to federal policies. Reports will also illustrate the potential effects of various policy proposals.

CHARACTERIZING UNCERTAINTY SURROUNDING ESTIMATES

CBO will update an interactive workbook showing its estimates of how changes in economic conditions affect the federal budget. The agency's reports about the 10-year outlook for the budget and the economy, the long-term outlook for the budget, and federal subsidies for health insurance will contain substantial discussions of the uncertainty surrounding CBO's projections. In addition, in any cost estimates in which uncertainty is significant, CBO will include a discussion of the topic.

CREATING DATA VISUALIZATIONS

In 2020 and 2021, CBO will provide information about its budget and economic projections in slide decks and create infographics about actual outlays and revenues. And the agency will look for opportunities to include graphics to enhance the explanations in some cost estimates.

CONDUCTING OUTREACH

CBO will continue to communicate every day with Congressional staff and others outside the agency to explain its findings and methods, respond to questions, and obtain feedback. The agency's Director will meet regularly with Members of Congress to do the same. After each set of baseline projections is published, CBO's staff will meet with Congressional staff to discuss the projections and answer questions.

CBO will obtain input from its Panel of Economic Advisers and Panel of Health Advisers. It will turn to other experts as well. For example, CBO will convene a recurring meeting of crop insurance and commodity analysts to review the past performance of the crop

insurance program and commodity markets and to discuss projections of future spending in those areas. Many reports will benefit from written comments by outside experts on preliminary versions. For some recurring reports produced on compressed timetables, such as the one about CBO's long-term budget projections, the agency will solicit comments on previous publications and selected technical issues to incorporate improvements in future editions.

CBO's staff will give presentations on Capitol Hill—some in collaboration with the Congressional Research Service—on its budget and economic projections and on other topics. Those presentations will allow CBO to explain its work and answer questions. The agency will also give presentations about its findings and about work in progress in a variety of venues to offer explanations and gather feedback. In addition, CBO will use blog posts to summarize and highlight various issues.

Improving Internal Operations

In addition to focusing directly on serving the Congress, CBO devotes resources to developing employees' skills and providing technological infrastructure to help them be as productive as possible.

DEVELOPING EMPLOYEES' SKILLS

CBO plans to keep focusing on staff development in 2020 and 2021. Recent hiring to increase transparency and responsiveness means that the agency has more new employees than usual, so staff development is especially important now.

CBO will further enhance the knowledge and skills of its staff by funding participation in conferences of researchers, practitioners, and government employees on various economic and policy topics, as well as training in analytic tools and various skills. CBO will also continue to provide courses on writing, effective presentation skills, and graphics to make its work as useful as possible. To remain fiscally prudent, CBO will develop employees' skills by means of internal resources and those of sister agencies to the extent possible.

In addition, CBO requests a modest appropriation of no-year funds to facilitate analysts' participation in annual leading academic conferences that occur early in the fiscal year, including conferences focused on tax policy, health care policy, and economics. In addition to offering analysts professional development, such

conferences are where CBO does much of its recruiting for economists. In the past, the agency has encountered difficulty in registering staff members for those conferences and arranging for travel because registration begins during the previous fiscal year. The requested appropriation would make planning for the conferences more efficient and in some cases would allow CBO to obtain discounts.

MAINTAINING AND IMPROVING TECHNOLOGICAL INFRASTRUCTURE

CBO continually works to maintain and improve its technological infrastructure. In 2020 and 2021, CBO plans to:

- Further modernize operations at its data centers;
- Continue to improve its website, especially its search tool;
- Expand services provided through the cloud;
- Update and transform desktops and file storage to increase capabilities, enhance ease of use, and improve disaster recovery;
- Improve its ability to assess, detect, and recover from internal and external cyber threats by upgrading, replacing, and adding certain software and systems and by testing the systems' capabilities to withstand attacks via the network or malicious email; and
- Acquire new hardware, software, and systems, including a document-management system, to provide staff with better tools, techniques, and processes.

CBO's Work in 2019

CBO analyzed trends and recent developments related to the economy and the budget during calendar year 2019 and developed baseline projections. With those projections used as benchmarks in most of its analyses, CBO provided formal cost estimates and mandate statements; fulfilled requests for technical assistance; produced scorekeeping reports and estimates for appropriation bills; and published analytic reports, working papers, and other documents. In providing all of that information, CBO aimed to be as timely and transparent as possible.

Formal Cost Estimates and Mandate Statements

CBO completed 711 formal cost estimates in 2019. They generally included explanations of their components and of the estimating methods used. The vast majority also included mandate statements, which assess whether legislation contains intergovernmental or private-sector mandates as defined in the Unfunded Mandates Reform Act and, if so, assess the magnitude of the mandates' effects on the private sector and on state, local, and tribal governments. CBO completed nearly all cost estimates before the legislation came to a floor vote.

Technical Assistance

CBO provides assistance to Congressional committees about legislation at various stages of the legislative process. To the extent practicable, CBO also provides information to Members' offices. The most common request is for a preliminary estimate of the effects of a bill or a tentative proposal on mandatory spending, but CBO's assistance may also involve answering general questions about the budget or responding to questions about previously published cost estimates. CBO fulfilled several thousand requests for such assistance in 2019. Such information was generally provided to committees or the leadership of the House or Senate for legislative proposals that they had designated as priorities. CBO provides similar information when amendments to bills are being considered.

Scorekeeping Estimates

In 2019, CBO provided about 130 scorekeeping reports and cost estimates, including reports with account-level detail for individual appropriation bills at all stages of the legislative process, summary tables showing the status of discretionary appropriations (by appropriations subcommittee), and running totals of the budgetary effects of enacted legislation on a year-to-date basis. The number of scorekeeping reports and estimates required for an appropriation cycle can vary depending on its duration and complexity; in recent years that number has ranged from about 100 to 150.

Reports, Working Papers, and Testimony About the Budget and Economy

CBO provides reports, analyses, and other information to policymakers throughout the legislative process. In 2019, the agency described its baseline projections in a major report about the budget and economic outlook. CBO also provided a comprehensive analysis of the long-term outlook for the federal budget—that is, the outlook

over the next 30 years and an analysis of economic outcomes under various budgetary paths. In addition, CBO produced an analysis of the President's budgetary proposals. Besides those major reports, the agency produced many other analyses of budget and economic issues. All told, the agency produced 77 such publications; they are arrayed by category below.

PROJECTIONS AND BUDGET ISSUES IN MAJOR RECURRING REPORTS

An Update to the Budget and Economic Outlook: 2019 to 2029 (August)

The 2019 Long-Term Budget Outlook (June)

An Analysis of the President's 2020 Budget (May)

Updated Budget Projections: 2019 to 2029 (May)

The Budget and Economic Outlook: 2019 to 2029 (January)

BUDGET ISSUES

Monthly Budget Review (11 issues)

The Accuracy of CBO's Baseline Estimates for Fiscal Year 2019 (December)

A Summary of Selected CBO Reports on Cash and Accrual Budgeting (October)

An Evaluation of CBO's Past Deficit and Debt Projections (September)

Budgetary Outcomes Under Alternative Assumptions About Fiscal Policy (August)

Sequestration Update Report: August 2019 (August)

CBO's Projections of Federal Receipts and Expenditures in the National Income and Product Accounts: 2019 to 2029 (July)

Federal Mandatory Spending for Means-Tested Programs, 2009 to 2029 (June)

Fair-Value Estimates of the Cost of Federal Credit Programs in 2020 (May)

Answers to Questions for the Record Following a Hearing on Discretionary Appropriations Under the Budget Control Act Conducted by the Senate Committee on the Budget (May)

Report on the Troubled Asset Relief Program—April 2019 (April)

Answers to Questions for the Record Following a Hearing on The Budget and Economic Outlook: 2019 to 2029 Conducted by the Senate Committee on the Budget (March)

Answers to Questions for the Record Following a Hearing Conducted by the House Committee on the Budget on The Budget and Economic Outlook: 2019 to 2029 (March)

Expired and Expiring Authorizations of Appropriations: Fiscal Year 2019 (March)

Legislation Enacted in the 115th Congress That Affects Mandatory Spending or Revenues (March)

Federal Debt and the Statutory Limit, February 2019 (February)

Final Sequestration Report for Fiscal Year 2019 (February)

Testimony on Discretionary Appropriations Under the Budget Control Act (Testimony before the Senate Budget Committee) (February)

Testimony on CBO's Budget and Economic Outlook: 2019 to 2029 (Testimony before the Senate Budget Committee) (January)

Testimony on CBO's Budget and Economic Outlook: 2019 to 2029 (Testimony before the House Budget Committee) (January)

EMPLOYMENT AND LABOR MARKETS

Employment of People Ages 55 to 79 (September)

The Effect of the Employer Match and Defaults on Federal Workers' Savings Behavior in the Thrift Savings Plan (July)

HEALTH CARE

Answers to Questions for the Record Following a Hearing Conducted by the House Committee on the Budget: Key Design Components and Considerations for Establishing a Single-Payer Health Care System (December)

CBO's Medicare Beneficiary Cost-Sharing Model: A Technical Description (October)

Testimony on the Key Design Components and Considerations for Establishing a Single-Payer Health Care System (Testimony before the House Budget Committee) (May)

Negotiation Over Drug Prices in Medicare (May)

Federal Subsidies for Health Insurance Coverage for People Under Age 65: 2019 to 2029 (May)

Key Design Components and Considerations for Establishing a Single-Payer Health Care System (May)

Health Insurance Coverage for People Under Age 65: Definitions and Estimates for 2015 to 2018 (April)

Sources and Preparation of Data Used in HISIM2—CBO's Health Insurance Simulation Model (April)

How Do Changes in Medical Malpractice Liability Laws Affect Health Care Spending and the Federal Budget? (April)

Prices for and Spending on Specialty Drugs in Medicare Part D and Medicaid: An In-Depth Analysis (March)

Prices for and Spending on Specialty Drugs in Medicare Part D and Medicaid (March)

How CBO and JCT Analyzed Coverage Effects of New Rules for Association Health Plans and Short-Term Plans (January)

HOUSING, POVERTY, AND INCOME SECURITY

The Effects on Employment and Family Income of Increasing the Federal Minimum Wage (July)

The Role of the Federal Housing Administration in the Reverse-Mortgage Market (May)

INFRASTRUCTURE AND TRANSPORTATION

Issues and Options for a Tax on Vehicle Miles Traveled by Commercial Trucks (October)

Federal Investment, 1962 to 2018 (June)

MACROECONOMIC ANALYSIS

CBO's Economic Forecasting Record: 2019 Update (October)

The Impact of Various Levels of Federal Debt on GNP and GNP per Capita (August)

Inflation, Inflation Expectations, and the Phillips Curve (August)

The Effect of Government Debt on Interest Rates (March)

The Effects of the Partial Shutdown Ending in January 2019 (January)

NATIONAL SECURITY

Use of the Post-9/11 GI Bill by the National Guard and Reserves (December)

The Cost of Supporting Military Bases (November)

Alternatives for Modernizing the Navy's Sealift Force (October)

An Analysis of the Navy's Fiscal Year 2020 Shipbuilding Plan (October)

Long-Term Implications of the 2020 Future Years Defense Program (August)

The Cost of Replacing Today's Army Aviation Fleet (May)

The Personnel Requirements and Costs of New Military Space Organizations (May)

The Post-9/11 GI Bill: Beneficiaries, Choices, and Cost (May)

Costs of Submarine Maintenance at Public and Private Shipyards (April)

Long-Term Implications of the 2019 Future Years Defense Program (February)

Projected Costs of U.S. Nuclear Forces, 2019 to 2028 (January)

RETIREMENT AND SOCIAL SECURITY

CBO's Long-Term Social Security Projections: Changes Since 2018 and Comparisons With the Social Security Trustees' Projections (December)

Accounting for Federal Retirement and Veterans' Benefits: Cash and Accrual Measures (September)

Social Security Replacement Rates and Other Benefit Measures: An In-Depth Analysis (April)

TAXES

The Effect of Tax-Motivated Transfer Pricing on U.S. Aggregate Trade Statistics (May)

Marginal Federal Tax Rates on Labor Income: 1962 to 2028 (January)

OTHER TOPICS

Projected Changes in the Distribution of Household Income, 2016 to 2021 (December)

Financial Regulation and the Federal Budget (September)

Expected Costs of Damage From Hurricane Winds and Storm-Related Flooding (April)

Strengthening Responsiveness

In 2019, CBO continued to provide the Congress with budgetary and economic information in a timely manner to inform the budget and policy process. That information took a number of forms, including cost estimates, technical assistance, and reports.

COST ESTIMATES

Of the 711 formal cost estimates that CBO completed in 2019, 298 applied to bills that were considered on the floor of the Senate or House of Representatives. And of those 298 estimates, 91 percent were provided by CBO before that consideration on the floor took place. CBO reviewed about 450 bills that were scheduled to be considered on the House's suspension calendar (which is generally used to handle noncontroversial bills that are expected to pass quickly and with little debate) and provided a cost estimate or written statement for almost all of them before the floor vote. In addition, CBO provided information about the budgetary effect of hundreds of amendments to legislation. Such legislation included the National Defense Authorization Act,

the Raise the Wage Act, the For the People Act, and the Homeland Security Protection Act.

CBO also improved readers' access to cost estimates. New, predictable URLs help readers locate the estimates more quickly on CBO's website. New filters allow readers to search for estimates by their 10-year total effects on direct spending, revenues, and deficits. A new layout for the estimates themselves makes it easier to find pertinent information. Each estimate's web page now includes a link to the bill's text and legislative information at Congress.gov. Finally, basic information about each estimate is now available in XML format.

TECHNICAL ASSISTANCE

In 2019, CBO's analysts spent thousands of hours providing technical assistance to Congressional staff. According to the agency's internal tracking, the most common request was for a preliminary estimate of the direct spending effects of a bill or legislative proposal. The analysts often worked one-on-one with Congressional staff on several versions of a proposal, aiming to provide the Congress with information in a timely manner—generally before a scheduled markup took place. The assistance typically happened through a combination of email, phone calls, and face-to-face meetings.

REPORTS

Every year, CBO publishes a series of reports, along with supplemental data, about the agency's baseline projections. Shortly after the Congress convened in January 2019, CBO published *The Budget and Economic Outlook: 2019 to 2029*, providing details about CBO's budget projections and economic forecast. In May, less than two months after the release of the President's budget request for fiscal year 2020, CBO released its spring baseline projections and an analysis of the budget request. *The 2019 Long-Term Budget Outlook*, which used the spring projections as its starting point, was published in June.

CBO published other reports in 2019 to help the Congress consider particular issues. For example, shortly after the release of the President's budget request, CBO released a report about various possible changes to military operations in space. *The Effects on Employment and Family Income of Increasing the Federal Minimum Wage* was published before the House of Representatives considered related legislation in the summer.

STAFFING

To improve responsiveness, CBO increased the number of assistant analysts in the Budget Analysis Division to five in 2019, up from just one in 2016. Two assistant analysts work on income security programs, two on issues related to physical and natural resources, and one on health policy.

Enhancing Transparency

Transparency is an essential part of CBO's long-standing commitment to providing clear, objective, insightful, and timely information to the Congress and the public. In 2019, CBO focused on bolstering transparency about its methods and data in a variety of ways:

- **Testifying and Publishing Answers to Questions.** CBO presented testimony at six Congressional hearings and published 55 answers to subsequent questions from Members of Congress. CBO also responded to occasional requests from Members for public answers to various other questions.
- **Explaining Its Analytical Methods.** CBO published various reports explaining its analyses and made some supporting documents and computer code available. Among those products were four that provided details about the data and models that CBO uses to estimate changes in health insurance and Medicare coverage—including some segments of the computer code used for insurance simulations. In addition, most cost estimates included a section about how they were developed.
- **Releasing Data.** Comprehensive sets of data files of CBO's projections were published with *The Budget and Economic Outlook: 2019 to 2029, An Analysis of the President's 2020 Budget*, and *The 2019 Long-Term Budget Outlook*. Most reports were accompanied by files providing the data underlying the charts. Reports about financial regulation, the distribution of household income, and hurricane damage, among others, also included files of supplemental data.
- **Analyzing the Accuracy of Its Estimates.** CBO publishes a report each year that assesses the quality of its baseline projections for the previous fiscal year and identifies factors that might have led to under- or overestimates. In 2019, CBO also released reports examining its baseline projections of the economy

and of deficits and debt and comparing them with actual outcomes.

- **Comparing Its Current Estimates With Its Previous Ones.** In several of its recurring publications, CBO explained the differences between projections made in 2019 and those made in the previous year. For example, *Federal Subsidies for Health Insurance Coverage for People Under Age 65: 2019 to 2029* devoted a chapter to comparing current estimates with previous ones and with actual outcomes. In addition, when applicable, cost estimates explained the extent to which they differed from estimates for similar bills earlier in the Congressional session.
- **Comparing Its Estimates With Those of Others.** CBO regularly compared its estimates with the budget projections of the Administration, with the economic projections of private forecasters and other government agencies, and with the policy analyses of various organizations. For instance, CBO published a comparison of its long-term Social Security projections with those of the Social Security Trustees. When time did not allow for a formal publication, CBO often discussed such comparisons with Congressional staff.
- **Estimating the Effects of Policy Alternatives.** CBO prepared reports to estimate the effects that various assumptions about future policies would have on budgetary outcomes. For example, in *Alternatives for Modernizing the Navy's Sealift Force*, CBO compared the Navy's proposed plan with four alternatives. In addition, the agency published two interactive tools on its website to allow users to explore the effects of making changes to the federal minimum wage and to Social Security.
- **Describing How Much Uncertainty Surrounds Its Estimates.** In 2019, CBO began to more routinely include a discussion of uncertainty in cost estimates. When it was possible, those discussions included information about how much the estimate could vary if key factors differed from CBO's estimates. In reports, the agency also developed likely ranges for some key projections—including projections of federal debt, economic growth, and the effects of changes in the minimum wage on employment. In addition, CBO developed an interactive workbook

to allow users to see how changes in economic conditions might affect the federal budget.

- **Creating Data Visualizations.** To promote understanding of its analyses, CBO published information in alternative formats, such as chart books, slide decks, and infographics. Those publications included a series of four infographics that illustrated spending and revenues in the federal budget in 2019. CBO also published slide decks that presented information in *The Budget and Economic Outlook: 2019 to 2029*. One chart book examined federal investment from the 1960s to the present; another described marginal federal tax rates on labor income from 2018 through 2028.
- **Conducting Outreach.** The most important form of outreach was direct communication between CBO and the Congress in person, by phone, and by email. CBO also solicited input from a range of policy experts through its Panels of Economic and Health Advisers and obtained many external reviews of its work. In addition, in completing an update of CBO's health insurance simulation model, the agency solicited input from many experts—such as those on its technical review panel for the model—with knowledge of a variety of topics, including microsimulation modeling, health insurance markets, federal health programs, and data sources. CBO's staff made presentations about the agency's processes, work in progress, and recently completed work. And the agency published blog posts highlighting key issues.

Improvements in Internal Operations in 2019

CBO continued to focus on staff development in 2019. To ensure that staff members stayed current on topics that are important to CBO's work for the Congress, the agency hosted presentations by a broad range of outside researchers and other experts, and staff members participated in numerous seminars to share information about their analyses, data, and estimating techniques.

CBO also sustained its emphasis on training. The agency funded participation in conferences of researchers, practitioners, and government employees on various economic and policy topics, as well as training in analytic tools and various skills. It provided ongoing training to analysts about the mechanics of scoring and cost

estimating; for example, last year analysts attended workshops on incorporating the effects of litigation into cost estimates and applying the requirements of the Federal Credit Reform Act. CBO continued to emphasize the need to clearly communicate the results of analyses, providing courses on writing analytic reports and training on effective presentation skills and data visualization. CBO also continued to provide staff with training in soft skills. The agency provided managers with training in engaging employees and enhancing communication and productivity. Finally, CBO trained all staff about their rights as described in the newly enacted Congressional Accountability Act Reform Act.

CBO also implemented numerous improvements to its IT infrastructure and practices in 2019. Among other advances, the agency:

- Completed its migration of data to a secondary data center that will be available in case of disaster;
- Moved CBO's most intensive computing operations to the cloud, making them faster;
- Installed a new system for broadcasting video of meetings internally; and
- Installed an IT security operations center that monitors and analyzes CBO's security posture around the clock.

And as it sought bids from contractors, CBO continued to encourage small businesses to participate by including them in its requests for price quotes and in its market research and, before making an award, by having each prospective contractor identify its type of business and its size. As a result of those efforts, CBO awarded 192 contracts and purchase orders to small businesses in fiscal year 2019. Of those contracts and purchase orders, 11 went to a minority-owned business and 42 to women-owned businesses. Of those, 5 businesses were owned by a minority woman.

The Good Accounting Obligation in Government Act requires agencies' budget requests to report public recommendations made by the Government Accountability Office or by an office of inspector general. There are currently no such recommendations for CBO to report.

Key Staffing Changes in 2019 and Early 2020

CBO has seen six key staffing changes in the past year.

Phillip L. Swagel became the 10th Director of CBO on June 3, 2019. Previously, he was a professor at the University of Maryland's School of Public Policy and a visiting scholar at the American Enterprise Institute and the Milken Institute. He has also taught at Northwestern University, the University of Chicago's Booth School of Business, and Georgetown University. His research has involved financial market reform, international trade policy, and China's role in the global economy.

Dr. Swagel has also held various positions in government. From 2006 to 2009, he was Assistant Secretary for Economic Policy at the Treasury Department, where he was responsible for analysis of a wide range of economic issues, including policies relating to the financial crisis and the Troubled Asset Relief Program. He has also served as chief of staff and senior economist at the Council of Economic Advisers in the White House and as an economist at the Federal Reserve Board and the International Monetary Fund.

Dr. Swagel earned his Ph.D. in economics from Harvard University and his A.B. in economics from Princeton University.

Megan Carroll was promoted to be the chief of the Scorekeeping Unit in the Budget Analysis Division. She oversees CBO's estimates of annual appropriations, the tracking of authorizing and direct spending legislation, the preparation of key reports that the House and Senate Budget Committees use to enforce budget rules that underlie the federal budget process, and the consistent use of estimating methodologies and scoring rules in work produced by the Budget Analysis Division.

Ms. Carroll began her career at CBO in 1999 as an analyst in the Natural and Physical Resources Cost Estimates Unit, covering energy and transportation. In addition to her work on cost estimates for legislative proposals related to those issues, she coauthored reports related to budgetary measures for a broad range of federal activities, including insurance, retirement and veterans' benefits, and energy-related investments.

She holds two master's degrees: one in public administration from the Maxwell School of Syracuse University and another in forest resource management from the

State University of New York's College of Environmental Science and Forestry. She received a bachelor's degree in economics from the University of Michigan.

Paul Masi returned to CBO to become the chief of the Health Systems and Medicare Cost Estimates Unit in the Budget Analysis Division. In that role, he manages a team of analysts who prepare estimates of the budgetary effects of legislation affecting Medicare, make projections of Medicare spending under current law, and provide other information to the Congress.

Before returning to CBO in November 2019, Mr. Masi was the Assistant Director of the Medicare Payment Advisory Commission and managed its work with the Congress, providing technical and policy advice on Medicare payment issues and managing communications with Congressional staff. In his first tour of duty at the Congressional Budget Office, Mr. Masi was a principal analyst, developing baseline projections of federal spending and cost estimates for Medicare Advantage, the Center for Medicare & Medicaid Innovation, the Hospital Insurance Trust Fund, and the Federal Employees Health Benefits program. Earlier in his career, he analyzed states' health reform efforts as a research associate at the Urban Institute.

Mr. Masi received a master's degree in public policy from the University of California, Berkeley, and a bachelor's degree in economics from Davidson College.

Sarah Masi was promoted to be the senior adviser in the Budget Analysis Division, where she works on health-related issues and coordinates analyses from staff across the agency. She joined CBO in 2011 as an analyst in the Low-Income Health Programs and Prescription Drugs Cost Estimates Unit in the Budget Analysis Division. In 2018, she became the Special Assistant for Health in the Budget Analysis Division. She has authored many cost estimates and other publications related to the Affordable Care Act.

Before coming to CBO, Ms. Masi was a budget and revenue analyst for the City and County of San Francisco. Before that, as a research assistant at the Brookings Institution, she worked on issues related to income security. She received her master's degree in public policy from the University of California, Berkeley, and her bachelor's degree in economics and government from Smith College.

Joseph Rosenberg joined CBO in July 2019 as Deputy Director of the Tax Analysis Division. In that capacity, he oversees the agency's analytical reports on tax issues and assists in the management of the division. He has extensive experience estimating the budgetary, distributional, and economic effects of tax policies; building microsimulation models; and modeling behavioral responses to taxation. Before he came to CBO, he worked at the Urban-Brookings Tax Policy Center, where he built models, conducted analyses, and published papers and reports about individual and corporate income taxes, payroll taxes, estate and gift taxes, excise taxes, carbon taxes, and value-added taxes. He has also worked at the Board of Governors of the Federal Reserve System on issues related to monetary policy and financial markets.

Mr. Rosenberg was a Ph.D. candidate in economics at the University of California, Berkeley, and he received a B.A. in economics from Colorado College.

Julie Topoleski was promoted to be a Deputy Director of Health, Retirement, and Long-Term Analysis. In that role, she oversees CBO's analyses of many issues and policies related to health care, health care financing, and Social Security. She joined CBO in 2003 as an analyst, working on the agency's long-term microsimulation model, CBOLT; playing an integral role in long-run analyses of proposed changes to Social Security and Medicare; and helping write CBO's annual *Long-Term Budget Outlook*. In 2014, she became the chief of the division's Long-Term Analysis Unit, which is responsible for long-term projections of Social Security, Medicare, Medicaid, and the federal budget, as well as for long-term analysis of policy changes in those areas. As unit

chief, she directed the annual publication of *The Long-Term Budget Outlook* and managed CBOLT.

Dr. Topoleski received a Ph.D. in economics from the University of Maryland and a B.A. in economics from Mary Washington College.

Organization Charts

In early 2020, CBO reorganized responsibilities in the Director's Office. Mark Hadley became Chief Operating Officer and General Counsel and will support senior staff in the Director's Office; the Budget Analysis Division; and the Management, Business, and Information Services Division. Wendy Edelberg became Chief Economist and will support senior staff in the Financial Analysis Division; the Health, Retirement, and Long-Term Analysis Division; the Macroeconomic Analysis Division; the Microeconomic Studies Division; the National Security Division; and the Tax Analysis Division. She will also support cross-divisional efforts to produce estimates of legislative proposals' economic effects and of the resulting budgetary effects. Jeffrey Kling became Research Director and will support cross-divisional efforts to publish CBO's reports and to produce conventional cost estimates for major legislative proposals.

Also, CBO has simplified some titles to indicate the function performed more clearly. For example, the title "Assistant Director, Macroeconomic Analysis Division" is now "Director of Macroeconomic Analysis."

Figures 1 through 9 show CBO's organizational structure and list the names of all of CBO's managers.

Figure 1.

Organization Chart—Entire Agency

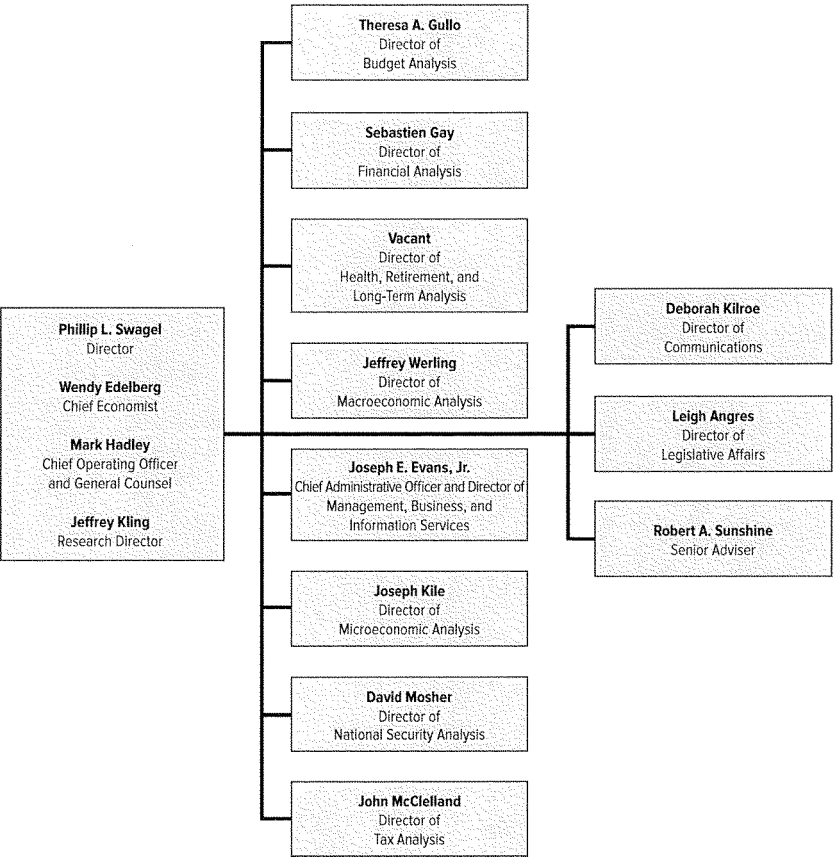


Figure 2.

Organization Chart—Budget Analysis Division

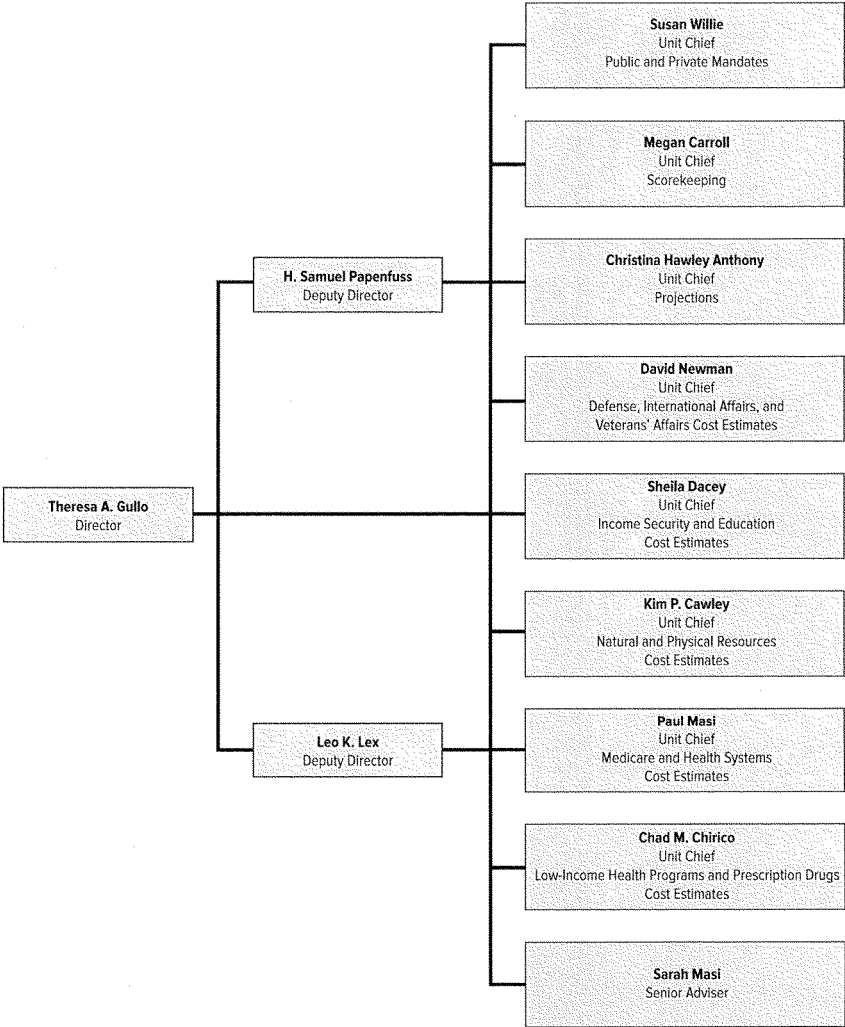


Figure 3.

Organization Chart—Financial Analysis Division

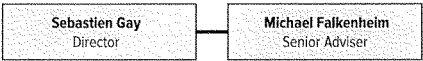


Figure 4.

Organization Chart—Health, Retirement, and Long-Term Analysis Division

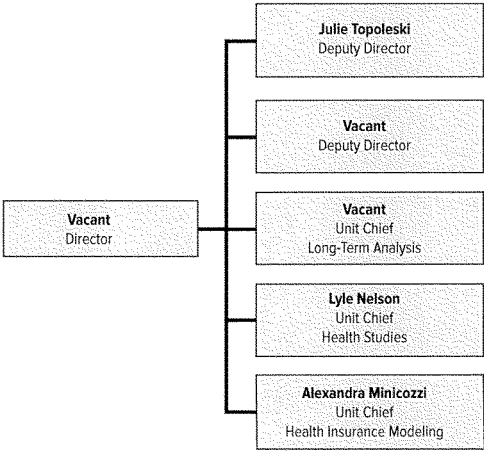


Figure 5.

Organization Chart—Macroeconomic Analysis Division

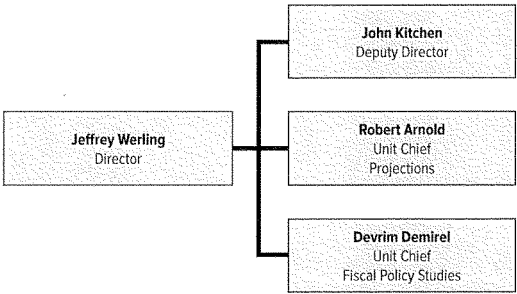


Figure 6.

Organization Chart—Management, Business, and Information Services Division

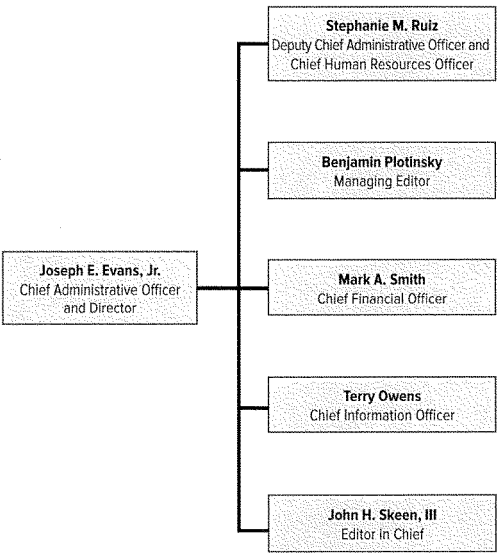


Figure 7.

Organization Chart—Microeconomic Studies Division

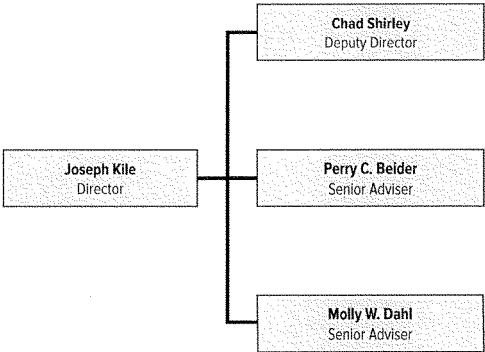


Figure 8.

Organization Chart—National Security Division

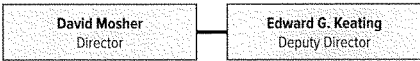
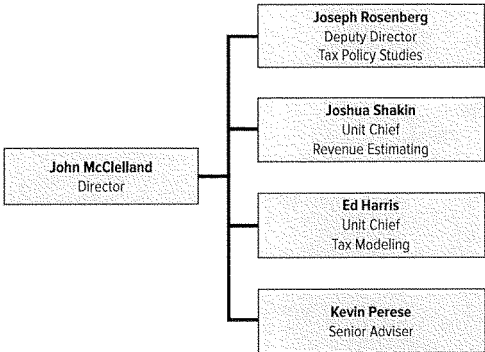


Figure 9.

Organization Chart—Tax Analysis Division



Detailed Tables

Tables 3 through 10 provide a detailed breakdown of CBO's past budgets and requested appropriations for fiscal year 2021.

Table 3.
Summary of Salaries and Expenses Appropriation, by Organizational Unit

Organizational Unit	FY 2019, Actual		FY 2020, Enacted		FY 2021, Requested		Change From FY 2020, Enacted, to FY 2021, Requested		
	FTEs	Funding	FTEs	Funding	FTEs	Funding	FTEs	Amount	Percentage
Office of the Director ^a	19	3,763	21	4,240	21	4,468	0	228	5.4
Budget Analysis	84	15,590	89	16,957	89	17,661	0	704	4.2
Macroeconomic Analysis	20	3,715	19	3,623	19	3,798	0	175	4.8
Financial Analysis	9	1,685	10	1,921	10	2,001	0	80	4.2
Tax Analysis	18	3,341	20	3,810	20	3,971	0	161	4.2
Health, Retirement, and Long-Term Analysis	32	5,969	35	6,672	35	6,954	0	282	4.2
Microeconomic Studies	17	3,310	17	3,380	17	3,629	0	249	7.4
National Security	13	2,446	13	2,490	13	2,595	0	105	4.2
Management, Business, and Information Services	37	10,897	40	11,848	40	12,215	0	367	3.1
Total	249	50,716	264	54,941	264	57,292	0	2,351	4.3

FTE = full-time-equivalent position; FY = fiscal year.
a. Includes the Office of Communications and the Office of the General Counsel.

Table 4.
Summary of Salaries and Expenses Appropriation, by Object Class

Object Class	CBO Activities	FY 2019, Actual	FY 2020, Enacted	FY 2021, Requested	Change From FY 2020, Enacted, to FY 2021, Requested	
					Amount	Percentage
11.1	Full-Time Permanent Positions	32,342	33,917	34,810	893	2.6
11.3	Other Than Full-Time Permanent	1,117	1,386	1,481	95	6.9
11.5	Other Personnel Compensation (Performance awards)	643	650	700	50	7.7
11.5	Other Personnel Compensation (Overtime)	45	45	45	0	0
12.1	Personnel Benefits	11,873	14,058	15,049	991	7
	Total, Pay	46,020	50,056	52,085	2,029	4.1
21.0	Travel and Transportation of Persons	173	189	189	0	0
23.3	Communications, Utilities, and Miscellaneous Charges	366	298	411	113	37.9
24.0	Printing and Reproduction	28	39	39	0	0
25.0	Other Services	3,298	3,557	3,822	265	7.5
26.0	Supplies and Materials	426	419	466	47	11.2
31.0	Equipment	405	383	280	-103	-26.9
	Total, Nonpay	4,696	4,885	5,207	322	6.6
Total		50,716	54,941	57,292	2,351	4.3

FY = fiscal year.

Table 5.
Salaries and Expenses Appropriation: Analysis of Change

	FTEs	Requested Amount (Thousands of dollars)
Funding for Fiscal Year 2020, Enacted	264	54,941
Mandatory Pay and Related Costs		
Annualization of prior fiscal year personnel actions (Pay only)		578
Fiscal year 2021 performance increases (Pay only)		401
Increase in other than full-time permanent (Pay only)		95
One fewer workday than in fiscal year 2020 (Pay only)		-140
Performance awards increase (Pay only)		50
Fiscal year 2021 across-the-board pay adjustment (Pay only)		54
Change in FERS rate (Benefits)		821
Other benefit changes (Benefits)		213
Performance awards increase (Benefits)		4
One fewer workday than in fiscal year 2020 (Benefits)		-47
Total, Mandatory Pay and Related Costs		2,029
Price-Level Changes		
Price increases		122
Total, Price-Level Changes		122
Program Changes		
Increase in communications		81
Increase in other services		190
Increase in supplies and materials		32
Decrease in equipment		-103
Total, Program Changes		200
Net Increase or Decrease	0	2,351
Fiscal Year 2021 Request	264	57,292

FERS = Federal Employees Retirement System; FTE = full-time-equivalent position.

Table 6.

Staffing Summary

Organizational Unit	FY 2019		FY 2020, Enacted (FTEs) ^c	FY 2021, Requested (FTEs) ^c	Change in FTEs From FY 2020, Enacted, to FY 2021, Requested
	Actual Number of Employees ^a	Actual FTEs ^b			
Office of the Director ^d	18	19	21	21	0
Budget Analysis	87	84	89	89	0
Macroeconomic Analysis	19	20	19	19	0
Financial Analysis	10	9	10	10	0
Tax Analysis	20	18	20	20	0
Health, Retirement, and Long-Term Analysis	33	32	35	35	0
Microeconomic Studies	18	17	17	17	0
National Security	12	13	13	13	0
Management, Business, and Information Services	40	37	40	40	0
Total	257	249	264	264	0

FTE = full-time-equivalent position; FY = fiscal year.

a. Number of employees at the end of the year.

b. Cumulative number of FTEs over the course of the year.

c. Based on the number of employees projected for the end of the previous year, minus projected terminations and plus projected hires for the specified year, and allowing for lag time between terminations and hires.

d. Includes the Office of Communications and the Office of the General Counsel.

Table 7.
Supplemental Data on Mandatory Pay Increases in CBO's Request

Thousands of Dollars		
Category	Amount	Explanation of Calculation
Annualization of Prior Fiscal Year Personnel Actions (Pay only)	578	CBO annualized fiscal year 2020 actions to include promotions and performance-based increases for staff.
Fiscal Year 2021 Performance Increases (Pay only)	401	CBO uses a performance-based system to reward its employees. Performance-based increases are based on employees' accomplishments in the previous year, as reflected in annual performance reviews. Performance is assessed according to five criteria: quality, timeliness and productivity, initiative, written and oral communication skills, and effectiveness of working relationships. Managers' performance is also assessed according to a sixth criterion, leadership. CBO's Director makes the final decisions on all pay changes. Maintaining the ability to reward performance is essential in view of the competitive job markets for economists, budget analysts, and other professionals.
Increase in Other Than Full-Time Permanent (Pay only)	95	Funding to support an increase in costs for employees other than full-time permanent employees.
One Fewer Workday Than in Fiscal Year 2020 (Pay only)	-140	CBO decreased pay needs because there will be 261 compensable days in fiscal year 2021, one fewer than the 262 compensable days in fiscal year 2020.
Performance Awards Increase (Pay only)	50	Slight increase in performance awards (pay) to support increase in personnel.
Fiscal Year 2021 Across-the-Board Pay Adjustment (Pay only)	54	Funding for a projected 3.0 percent across-the-board pay increase in January 2021 for staff whose salary is less than \$100,000 (if such an increase is authorized for executive branch agencies).
Change in FERS Rate (Benefits)	821	Increase as a result of a mandatory change in rate in fiscal years 2020 and 2021.
Other Benefit Changes (Benefits)	213	The estimated cost of the change in benefits associated with the salary increases listed above plus increases in the price of benefit programs.
Performance Awards Increase (Benefits only)	4	Slight increase in performance awards (benefits) to support increase in personnel.
One Fewer Workday Than in Fiscal Year 2020 (Benefits)	-47	CBO decreased benefits costs because there will be 261 compensable days in fiscal year 2021, one fewer than the 262 compensable days in fiscal year 2020.
Total, Mandatory Pay Increases	2,029	

FERS = Federal Employees Retirement System.

Table 8.

Supplemental Data on Price-Level Increases in CBO's Request

Thousands of Dollars		
Category	Amount	Explanation of Calculation
General Inflationary Increase	122	CBO included an adjustment of 2.5 percent to match its projection of inflation costs for nonpay items.
Total, Price-Level Increase	122	

Table 9.

Salaries and Expenses Obligations: 10-Year Data

Thousands of Dollars, Not Adjusted for Inflation, by Fiscal Year											
Object Class	CBO Activities	2012	2013	2014	2015	2016	2017	2018	2019	2020, Enacted	2021, Requested
11.1	Full-Time Permanent Positions	29,488	28,687	28,200	28,891	29,368	30,120	30,650	32,342	33,917	34,810
11.3	Other Than Full-Time Permanent	543	514	818	877	778	895	909	1,117	1,386	1481
11.5	Other Personnel Compensation	567	6	583	542	567	447	643	688	695	745
		30,598	29,207	29,601	30,310	30,713	31,462	32,202	34,147	35,998	37,036
12.1	Personnel Benefits	9,939	9,711	9,752	10,433	10,807	11,107	11,245	11,873	14,058	15,049
13.0	Benefits for Former Personnel	0	0	0	0	0	6	0	0	0	0
21.0	Travel and Transportation of Persons	128	112	123	185	194	148	175	173	189	189
23.3	Communications, Utilities, and Miscellaneous Charges	160	157	318	298	186	241	523	366	298	411
24.0	Printing and Reproduction	26	11	29	31	19	19	11	28	39	39
25.0	Other Services	1,439	1,381	2,445	2,313	2,443	2,185	4,779	3,298	3,557	3,822
26.0	Supplies and Materials	454	370	422	407	423	383	433	426	419	466
31.0	Equipment	985	520	2,293	1,699	1,635	919	541	405	383	280
	Total, Obligations	43,729	41,469	44,983	45,676	46,420	46,470	49,909	50,716	54,941	57,292
Full-Time-Equivalent Positions		237	225	225	233	233	237	237	249	264	264

Table 10.

Spending for Advertising Services, Fiscal Year 2019

Dollars

Purpose of Spending	Vendor ^a	Obligations
Recruitment Advertisements for Economists	American Economic Association	1,400
Recruitment Advertisement for Economists	American Society of Health Economists	600
Recruitment Advertisement for Economists	National Economic Association	300
Recruitment Advertisement for Economists	Academy of Health	299
Recruitment Advertisement for Economists	Southern Economic Association	275
Recruitment Advertisements for Information Technology Positions	Dice	1,975
Recruitment Advertisement for Defense Analyst	Society for Industrial and Applied Mathematics	549
Recruitment Advertisement for Defense Analyst	Military Operations Research Society	350
Recruitment Advertisement for Defense Analyst	Association for Women in Science	299
Recruitment Advertisement for Defense Analyst	National Society of Black Engineers	250
Recruitment Advertisement for Defense Analyst	Society of Hispanic Professional Engineers	179
Recruitment Advertisement for Web Development Position	GitHub	450
Recruitment Advertisement for Web Development Position	Authentic Jobs	300
Recruitment Advertisement for Attorneys	ALM Media	695
Recruitment Advertisement for Editing Position	Mediabistro	297
Recruitment Advertisement for Human Resources Position	Society of Human Resource Management	198
Recruitment Advertisement for Human Resources Position	Northern Virginia Society for Human Resource Management	99
Recruitment Advertisement for Graphics Position	Society for News Design	25
Total		8,540

a. CBO did not collect socioeconomic information about these vendors because the amounts spent were small.

Detailed Object Class Analysis

The details of CBO's requested appropriation for 2021 are explained below.

Basis for CBO's Budget Estimates—Personnel Costs

CBO derived these projections of personnel costs with its internally developed software for tracking current payroll costs and projecting future payroll costs. The projections are based on employee-level payroll data at the object class level. In the past, payroll budget projections derived with that software have proved to be highly accurate.

OBJECT CLASS 11—FULL-TIME AND PART-TIME EMPLOYEES: \$37,036,400

- **\$36,061,700 for Base Pay**—funds an average of 264 FTEs for the fiscal year. That amount constitutes an overall net increase of \$988,500 from the amount provided in fiscal year 2020:
 - \$578,400 is for prior-year personnel actions (performance-based increases and promotions).
 - \$401,300 is for performance-based pay increases in 2021. CBO uses a performance-based system to reward its employees. Performance-based increases are based on employees' accomplishments in the previous year, as reflected in annual performance reviews. Employees' performance is assessed according to five criteria: quality of work, timeliness and productivity, initiative, written and oral communication skills, and effectiveness of working relationships. Managers' performance is also assessed according to a sixth criterion, leadership. CBO's Director makes the final decisions on all pay changes. Maintaining the ability to reward performance is essential in view of the competitive job markets for economists, budget analysts, and other professionals.
 - \$95,000 is for performance-based pay increases in 2021 for employees other than full-time permanent employees.
 - \$54,000 is for an across-the-board pay increase (if such an increase is authorized for executive branch agencies for 2021) of 3.0 percent in January 2021 for staff whose salary is less than \$100,000.

- Offsetting those increases is a \$140,200 decrease to pay employees for one fewer workday than in fiscal year 2020.

- **\$700,000 for Performance Bonuses for Top Performers**—funds bonuses that enable CBO to control long-term compensation costs while helping the agency retain its outstanding performers in competitive job markets. That amount is an increase of \$50,000 from the amount provided in fiscal year 2020.
- **\$229,700 for Leave Buyout Costs**—funds mandatory leave buyout costs for employees who depart. That amount is based on current data and projected departures; it is the same amount as provided in fiscal year 2020. If leave buyout costs turned out to be higher than that amount, CBO would delay filling vacated positions to cover the costs.
- **\$45,000 for Overtime Pay**—funds overtime pay for nonexempt employees. That is the same amount that was provided in fiscal year 2020. Currently, CBO has 11 employees serving in nonexempt positions. They perform such tasks as preparing and printing products, delivering them to the Congress, and providing technical support. CBO must pay employees in nonexempt positions overtime if they work more than 40 hours per week, which happens in the rare cases when timely support of the Congress would be impaired if the work was not performed.

OBJECT CLASS 12—PERSONNEL BENEFITS: \$15,048,500

- **\$8,136,800 for the Federal Employees Retirement System and Civil Service Retirement System (CSRS)**—funds mandatory retirement benefits in FERS and CSRS. That amount, which constitutes an increase of \$820,100 from the amount provided in fiscal year 2020, is based on several factors: the projected base pay of current employees; anticipated attrition; and current benefit rates (25.7 percent for FERS employees generally, 7.5 percent for CSRS and CSRS Offset employees, and 17.8 percent for employees new to government after December 31, 2012). Benefit rates are the percentage of employees' salaries that CBO is required to pay to the two retirement systems; the contribution rate for FERS rose 32 percent in 2020 and 11 percent in 2021.

- **\$2,129,500 for Health Insurance**—funds mandatory health benefit costs. That amount constitutes an increase of \$71,100 from the amount provided in fiscal year 2020. The increase results from increases in premiums for health insurance and in the size of CBO's staff.
- **\$1,984,100 for Social Security Payroll Taxes**—funds mandatory benefit costs for CBO employees subject to the Social Security payroll tax. That amount, which constitutes an increase of \$32,700 from the amount provided in fiscal year 2020, is projected on the basis of an estimated maximum taxable amount of \$137,700 for each employee, along with a reduction for anticipated attrition.
- **\$1,336,200 for FERS Thrift Savings Plan (TSP) Government Matching Contributions**—funds mandatory government matching contributions. That amount, which constitutes an increase of \$36,200 from the amount provided in fiscal year 2020, is projected on the basis of matching benefits for current employees, their current annualized salary, and a reduction for anticipated attrition. The historical matching benefit for CBO has been roughly 3.7 percent of base pay.
- **\$536,600 for Medicare Payroll Taxes**—funds mandatory benefit costs for CBO employees. That amount, which constitutes an increase of \$17,800 from the amount provided in fiscal year 2020, equals 1.45 percent of base pay, with a reduction for anticipated attrition.
- **\$355,100 for the FERS TSP Government Basic Contribution**—funds the mandatory FERS TSP matching benefit of 1 percent. That amount, which constitutes an increase of \$10,200 from the amount provided in fiscal year 2020, is projected on the basis of the benefits paid to current employees, their current annualized salary, and a reduction for anticipated attrition.
- **\$250,000 for the Transit Benefit Program**—funds mandatory employee benefits that are associated with CBO's Transit Benefit Program. The same amount was provided in fiscal year 2020.
- **\$150,000 for Recruitment Bonuses**—funds a valuable recruiting tool for the agency. The same amount was provided in fiscal year 2020.
- **\$100,000 for Death Benefits**—funds death benefits. The same amount was provided in fiscal year 2020.
- **\$48,000 for Life Insurance**—funds mandatory life insurance benefits for employees. That amount, which constitutes an increase of \$1,500 from the amount provided in fiscal year 2020, is projected on the basis of historical data and equals roughly 0.13 percent of base pay.
- **\$18,000 for the Student Loan Repayment Program**—funds a valuable recruiting tool for the agency. The same amount was provided in fiscal year 2020.
- **\$2,500 for Workers' Compensation**—funds mandatory payments of workers' compensation claims. That amount is an increase of \$1,400 from the amount provided in fiscal year 2020.
- **\$1,700 for the Federal Flexible Spending Account Program (FSAFEDS)**—funds mandatory costs for FSAFEDS. That amount, which is the same as the amount provided in fiscal year 2020, is projected on the basis of employees' historical use of the program.

Basis for CBO's Budget Estimates— Nonpersonnel Costs

CBO projected nonpersonnel costs on the basis of its past experience and plans for the upcoming year.

OBJECT CLASS 21—TRAVEL: \$189,400

- **\$189,400 for Travel**—funds travel for the outside experts who participate in two meetings of the agency's Panel of Economic Advisers and one meeting of the agency's Panel of Health Advisers to support the development and review of the agency's analyses; funds employees' attendance at the annual Allied Social Science Association conference, which is an important venue for recruiting; and funds travel for employees to attend various conferences and training courses, including management and leadership training. The same amount was provided in fiscal year 2020.

**OBJECT CLASS 23.3—COMMUNICATIONS, UTILITIES,
AND MISCELLANEOUS: \$410,600**

- **\$406,000 for Telecommunications and Telephone Services**—funds local and long distance telephone services, smartphone service for some CBO personnel, and secure telecommunication links to support Internet and intranet services. Those links and services between the agency's offices at the Ford House Office Building and its secondary data center enable CBO's IT staff to conduct daily administrative tasks and to replicate data and systems at both locations daily so that if a disaster occurred at the Ford Building, the agency could keep operating at the other location. That amount is based on anticipated expanded requirements and is an increase of \$112,600 from the amount provided in fiscal year 2020.
- **\$4,600 for Mail Service**—funds postage, couriers, and mail services. That amount is based on anticipated usage and is roughly the same as the amount provided in fiscal year 2020.

OBJECT CLASS 24—PRINTING AND REPRODUCTION: \$39,100

- **\$39,100 for Publications**—funds the printing of publications through the Government Publishing Office, as well as other miscellaneous printing requirements involving CBO's products for the Congress. That amount is based on anticipated requirements and is the same as the amount provided in fiscal year 2020.

OBJECT CLASS 25—OTHER SERVICES: \$3,822,400

- **\$1,543,100 for IT Commercial Data and Time Sharing**—funds purchases of data about health care, domestic and international banking and financial markets, and other topics in support of the agency's analyses, as well as software and cloud services for additional capabilities and disaster recovery. That amount is based on anticipated requirements and is an increase of \$123,100 from the amount provided in fiscal year 2020.
- **\$798,000 for Equipment Maintenance and Repair**—funds a broad array of IT items needed for operations. That amount is based on anticipated requirements and is a \$98,100 increase from the amount provided in fiscal year 2020. Whenever possible, CBO takes a cost-effective approach to maintenance and repair by negotiating agreements to

cover one or more years instead of paying for service and support as it becomes necessary.

- **\$300,300 for Expert Consultants**—funds access to outside experts, particularly in health care and finance, to assist in the preparation of cost estimates and analyses; outside reviews of drafts of analyses; and legal support for human resources and litigation actions regarding former and current employees. That amount is an increase of \$134,200 from the amount provided in fiscal year 2020, reflecting the agency's goal of hiring consultants to support work in complex areas, such as health policy, economic forecasting, and climate-related research.
- **\$293,000 for Miscellaneous Temporary Support**—funds ad hoc IT, clerical, and miscellaneous support, as well as other services, throughout the agency during peak workload periods. That amount is based on anticipated requirements and is an increase of \$31,300 from the amount provided in fiscal year 2020.
- **\$253,300 for IT System Development and Support**—funds major software installations, upgrades, and support. That amount is based on anticipated requirements and is a decrease of \$131,600 from the amount provided in fiscal year 2020.
- **\$235,700 for Training**—funds CBO analysts' participation in conferences; technical training in data analysis (including in statistical analysis software), economic modeling, business and report writing, and IT systems and software; and management training for managers. That amount is a \$5,800 increase from the amount provided in fiscal year 2020, partly because of a larger staff and partly because of inflation. To constrain expenses in this area, CBO conducts internal training and takes advantage of training provided by sister agencies to the extent possible.
- **\$153,200 for Financial Management Support**—funds an interagency agreement with the Library of Congress as well as CBO's annual independent financial audit. That amount is based on anticipated requirements and is an increase of \$19,400 from the amount provided in fiscal year 2020.

- **\$122,700 for the Financial Management System (Momentum)**—funds annual costs of CBO's maintenance support for Momentum. That amount is based on anticipated requirements and is a decrease of \$13,000 from the amount provided in fiscal year 2020.
- **\$42,000 for Editing and Publications Contractor Support**—principally funds services by contractors to help produce CBO's publications. The contractors are used to augment the agency's editing capacity, particularly during peak workload periods. That amount is based on anticipated requirements and is a \$1,000 increase from the amount provided in fiscal year 2020.
- **\$40,100 for Human Resources Contract Support**—funds a variety of costs related to CBO's personnel, including those for posting jobs to the USAJobs website, advertising open positions, and retaining personnel records, as well as minor costs associated with employment services, such as retirement counseling. That amount is a \$3,200 decrease from the amount provided in fiscal year 2020.
- **\$35,000 for Payroll Processing Support**—funds comprehensive payroll (and related benefits) processing for CBO by the National Finance Center. That agency provides human resources and payroll services to more than 140 government agencies (including all agencies in the legislative branch), offering more efficient and cost-effective services than those agencies would otherwise be able to obtain. That amount is a \$1,500 decrease from the amount provided in fiscal year 2020. The decrease is based on anticipated requirements.
- **\$6,000 for Official Representation**—funds events such as meetings of the Panel of Economic Advisers, meetings of the Panel of Health Advisers, meetings of other outside analysts, and minority recruitment events. The same amount was provided in fiscal year 2020.

OBJECT CLASS 26.0—SUPPLIES AND MATERIALS: \$466,100

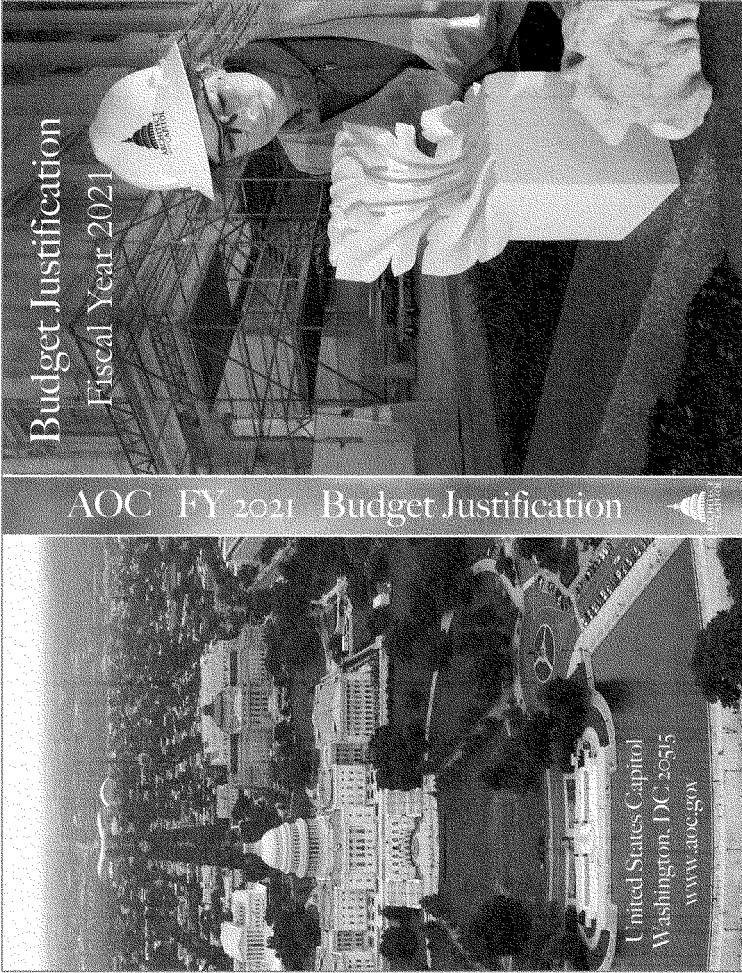
- **\$364,300 for Library Subscriptions**—funds library (primarily online) subscriptions to a variety of publications and services, including *Congressional*

Quarterly, *National Journal*, Lexis-Nexis, EconLit, the Bureau of National Affairs, EBSCO, PROQUEST, the Social Science Research Network, Science Direct, JSTOR, the *Wall Street Journal*, Inside Washington Publishers, and Energy and Environment. That amount is based on anticipated requirements and is an increase of \$21,400 from the amount provided in fiscal year 2020.

- **\$101,800 for Office Supplies**—funds expenses for office supplies, reasonable accommodations for employees' requirements under the Americans With Disabilities Act, paper, envelopes, emergency response kits required for evacuation drills, award supplies, and other items. That amount is based on anticipated requirements and is an increase of \$26,000 from the amount provided in fiscal year 2020.

OBJECT CLASS 31.0—EQUIPMENT: \$279,900

- **\$116,400 for Software**—funds various software requirements. That amount is based on anticipated requirements and is a \$60,500 decrease from the amount provided in fiscal year 2020. It covers licenses for CBO's desktop backup system, additional licenses for desktop security software, and software and services to further strengthen the agency's IT security infrastructure against cyberattacks. It also covers software for a new document-management system.
- **\$101,000 for Office Furniture**—funds office furniture for new personnel and the replacement of worn-out furniture. That amount is based on anticipated requirements and is a \$2,200 increase from the amount provided in fiscal year 2020.
- **\$60,000 for Hardware**—funds CBO's computer purchases. That amount is based on anticipated requirements and is a \$45,000 decrease from the amount provided in fiscal year 2020. The amount has decreased because CBO is continuing to implement cloud services in fiscal year 2020 and will therefore have to buy less hardware in fiscal year 2021, though the agency will continue to upgrade old equipment.
- **\$2,500 for Books**—funds the purchase of books used by CBO staff to meet analytical requirements. The same amount was provided in fiscal year 2020.





AOC Overall FY 2021 Budget

TOTAL BUDGET REQUEST

The table below identifies the Architect of the Capitol's (AOC) total budget request by appropriation and period of availability (Annual, Multi-Year or No-Year). The Fiscal Year (FY) 2021 request reflects a zero-based budgeting approach on the AOC's assessment of the requirements to perform its missions in support of Congress.

Agency Funding Summary (\$000)					
Appropriation and Funding Type	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020 to FY 2021 Difference	
				Amount	Percent
Capital Construction and Operations	103,962	120,000	139,239	19,239	16.0%
Operating Budget	103,962	120,000	133,339	13,339	11.1%
Multi-Year Projects	-	-	5,900	5,900	-
Capitol Building	43,992	68,878	41,201	(27,677)	-40.2%
Operating Budget	26,648	27,979	29,102	1,123	4.0%
Multi-Year Projects	17,344	40,899	12,099	(28,800)	-70.4%
Capitol Grounds	16,761	15,024	20,981	5,957	39.6%
Operating Budget	11,242	12,024	13,181	1,157	9.6%
Multi-Year Projects	5,519	3,000	7,800	4,800	160.0%
Senate Office Buildings	93,562	88,424	90,953	2,529	2.9%
Operating Budget	62,400	65,324	68,753	3,429	5.2%
Multi-Year Projects	31,162	23,100	22,200	(900)	-3.9%
House Office Buildings	197,098	153,273	155,047	1,774	1.2%
Operating Budget	59,546	60,973	63,507	2,534	4.2%
Multi-Year Projects	65,552	30,300	19,540	(10,760)	-35.5%
No-Year Projects	72,000	62,000	72,000	10,000	16.1%
Capitol Power Plant	114,050	98,957	122,166	23,209	23.5%
Operating Budget	82,688	83,657	84,466	809	1.0%
Multi-Year Projects	31,362	15,300	37,700	22,400	146.4%
Library Buildings and Grounds	68,525	55,746	111,193	55,447	99.5%
Operating Budget	28,122	30,546	32,393	1,847	6.0%
Multi-Year Projects	40,403	25,200	78,800	53,600	212.7%
Capitol Police Buildings, Grounds, & Security	57,714	55,216	70,790	13,074	23.7%
Operating Budget	25,937	27,216	30,790	3,574	13.1%
Multi-Year Projects	31,777	28,000	37,500	9,500	33.9%
No-Year Projects	-	-	2,500	2,500	-
Botanic Garden	14,759	16,094	21,266	5,172	32.1%
Operating Budget	11,200	12,094	12,966	872	7.2%
Multi-Year Projects	3,559	4,000	8,300	4,300	107.5%
Capitol Visitor Center	23,322	24,321	25,273	952	3.9%
Operating Budget	23,322	24,321	25,273	952	3.9%
Multi-Year Projects	-	-	-	-	-
Total Agency Appropriation	733,745	695,933	798,109	102,176	14.7%
Operating Budget	435,067	464,134	493,770	29,636	6.4%
Multi-Year Projects	226,678	169,799	229,839	60,040	35.4%
No-Year Projects	72,000	62,000	74,500	12,500	20.2%



AOC Overall FY 2021 Budget

ANALYSIS OF CHANGE

The table below identifies the AOC changes from the FY 2020 Enacted to the FY 2021 request.

	FY 2021 Agency Request	
	FTE	Amount (\$000)
FY 2020 Enacted		695,933
Payroll Funded FTE	2,283	
Non-Recurring Costs:		
Visitor Services.....		(305)
Information Resource Management.....		(200)
Exhibits.....		(150)
Furniture & Furnishings.....		(50)
Capital (Multi-Year) Projects.....		(169,799)
Capital (No-Year) Projects.....		(62,090)
Total Non-Recurring Costs	-	(232,504)
Intra-Appropriation Realignment		
Capital Construction and Operations from Administrative.....		(341)
Capital Construction and Operations from Information Resource Management.....		(333)
Capital Construction and Operations from Architectural and Engineering Services.....		(144)
Capital Construction and Operations to Payroll.....	5	818
Capitol Power Plant from Plant Operations and Maintenance.....		(1,235)
Capitol Power Plant to Safety Engineering Operations and Maintenance.....		1,225
Total Intra-Appropriation Realignments	5	-
Price Changes:		
Payroll Related:		
FY 2021 FERS Employer Contribution Rate Increase.....		2,977
FY 2021 Cost-of-Living Adjustment of 3.0%*.....		5,857
FY 2021 FEHB Employer Contribution of 3.2%.....		576
FY 2021 Within Grade Increase.....		1,889
Total Payroll Related Costs	-	11,299
Non-Pay Related:		
FY 2021 Non-pay Inflation Increase of 2.5%.....		3,491
Lease Escalation Costs.....		563
Total Non-Pay Related Costs	-	4,054
Total Current Services	-	478,782
Program Increases		
Payroll Jurisdiction Operational Support.....	19	2,802
Enhanced Jurisdictional Payroll Support for Capital Projects.....	13	2,029
Payroll FTE Increase LOC Mission Support.....	8	753
Security Support Payroll FTEs Increase.....	3	398
Gardeners FTE Increase.....	6	515
Special Functions Program.....	6	428
Payroll FTE Increase for BG Mission Support.....	3	429
OIG Audit and Evaluation Plan.....	1	200
Exhibition Hall FTE Increase FTE Increase.....	1	149
Non-Pay Jurisdiction Operational Support.....		3,673
Enhanced Jurisdictional Non-Pay Support for Capital Projects.....		320
Facilities Maintenance Program.....		555
Jurisdiction Centralized Activities Program.....		1,427
Visitor Services.....		345
Election Year Furniture Repairs.....		510
Historical Landscape Preservation.....		200
Furniture Repair Program.....		120
Architectural and Engineering Services Program.....		70
Election Year Carpet Replacement.....		65
Capital LDCP Projects.....		183,200
Minor Construction Projects.....		38,500
Other Projects.....		8,139
Capital (No-Year) Projects.....		74,500
Total Program Increases	60	319,327
Net Increase/Decrease	65	102,176
Total Agency Request (FTE and Funding)	2,348	798,109

*Incorporated in the FY 2021 Cost-of-Living Adjustment is a 2.5% pay raise pay raise (\$4,882K) and a locality pay area adjustment of .5% (\$975K)



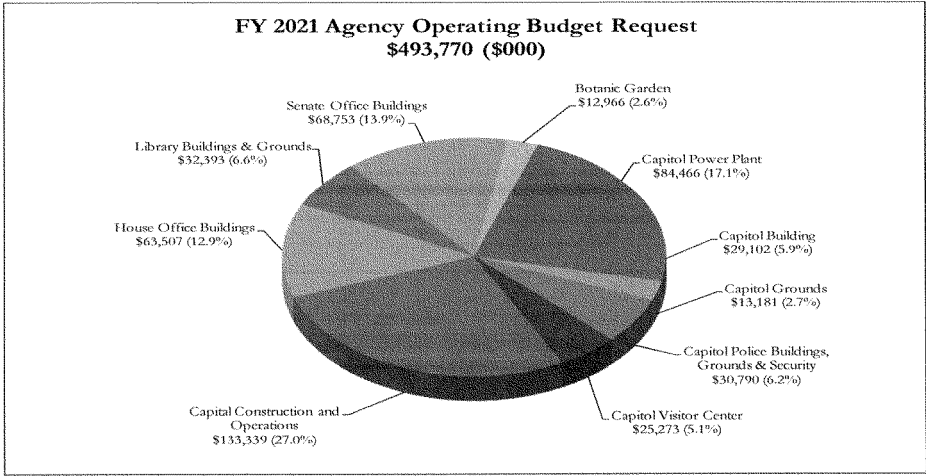
AOC Overall FY 2021 Budget

OPERATING BUDGET REQUEST OVERVIEW

The table below identifies the AOC’s FY 2021 funding allocation by Program Group. Payroll accounts for 57 percent of the total AOC operating budget.

Program Group Summary (\$000)				
Program Group	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
Administrative	7,504	9,804	9,735	(69)
Architectural and Engineering Services	2,502	5,200	5,205	5
Curator	220	226	234	8
Exhibits	825	760	629	(131)
Facilities Maintenance	39,739	42,840	44,596	1,756
Furniture Repair	1,144	1,223	1,834	611
Grounds Maintenance	3,104	3,527	3,816	289
Information Resource Management	23,512	31,034	35,097	4,063
Inspector General	991	1,093	1,121	28
Jurisdiction Centralized Activities	30,735	28,658	31,120	2,462
Payroll	249,503	263,325	283,145	19,820
Power Plant Operations and Maintenance	12,346	12,643	11,704	(939)
Safety Eng. Ops and Maintenance	2,219	2,273	3,915	1,642
Visitor Services	1,623	2,336	2,427	91
Utilities	59,100	59,192	59,192	-
Total	435,067	464,134	493,770	29,636

The chart below identifies the AOC’s FY 2021 Operating request by Appropriation.





AOC Overall FY 2021 Budget

PAYROLL REQUEST OVERVIEW

The payroll funds salaries and benefits for AOC's employees. It includes government staff salaries and other compensation (e.g. paid leave and lump sum annual leave payments upon separation); compensation above basic rates including overtime and holiday pay; employer contributions to the Civil Service Retirement System, the Federal Employees Retirement System and the Thrift Savings Plan; employer contributions to Social Security, Medicare, Federal Employees Health Benefits and Federal Employees Group Life Insurance; student loan repayment program; and transit subsidies.

The charts below identify the AOC's FY 2021 Payroll funding and FTE requirements by Appropriation.

Payroll Funding Summary (\$000)							
Appropriation	FY 2020 Enacted	Price Changes					FY 2021 Total Request
		FERS	COLA 3.0%	FEHB 3.2%	Within Grade Increases	Total Current Services	
Capital Construction and Operations ¹	67,129	822	1,460	105	463	2,850	75,828
Capitol Building	24,371	264	531	62	174	1,031	25,402
Capitol Grounds	8,238	88	180	19	59	346	9,099
Senate Office Buildings	48,291	527	1,055	123	344	2,049	50,768
House Office Buildings	50,925	558	1,188	128	387	2,261	53,186
Capitol Power Plant	11,371	125	252	22	81	480	11,851
Library Buildings & Grounds	20,212	223	423	50	138	834	21,799
Capitol Police Buildings, Grounds & Security	4,505	51	97	6	30	184	5,087
Botanic Garden	7,866	89	173	18	56	336	8,631
Capitol Visitor Center	20,417	230	498	43	157	928	21,494
Total	263,325	2,977	5,857	576	1,889	11,299	283,145

¹Note: Capital Construction & Operations program change amount includes \$818K for a program realignment.

Payroll FTEs Summary				
Appropriation	FY 2020 Enacted	FTEs Changes	FY 2021 Request	Increase Summary
Capital Construction and Operations ¹	407	38	445	15 to support project increases, 22 for operational support & 1 OIG Audit
Capitol Building	221	-	221	
Capitol Grounds	76	6	82	6 Gardeners to enhance Capitol Grounds
Senate Office Buildings	480	6	486	6 to support the Special Functions Team
House Office Buildings	536	-	536	
Capitol Power Plant	80	-	80	
Library Buildings & Grounds	163	8	171	8 to improve client services, planned maintenance, and overall building operations
Capitol Police Buildings, Grounds & Security	28	3	31	1 Construction Manager, 1 Facility Operations Specialist, 1 Staff Assistant
Botanic Garden	69	3	72	1 External Education Specialist, 1 Gardener, 1 Scientific Opportunities Coordinator
Capitol Visitor Center	223	1	224	1 Assistant Exhibits Manager
Total	2,283	65	2,348	

¹Note: Additional funds are only requested for 60 FTEs. 2 Project Support & 3 Operational Support FTEs are funded from a realignment within the Capital Construction & Operations.



AOC Overall FY 2021 Budget

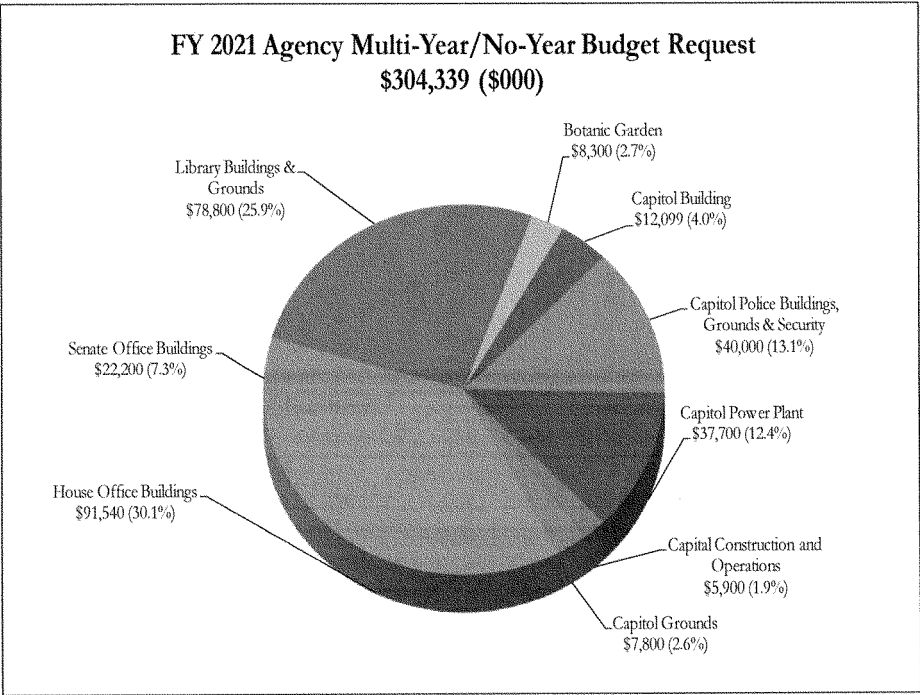
MULTI-YEAR/NO-YEAR BUDGET REQUEST OVERVIEW

The Multi-Year Projects Budget request consists of major construction or system replacement requirements to address fire, life-safety and security issues; deferred maintenance; capital renewal; capital improvement; capital construction; and necessary studies and designs with a focus on energy savings.

The AOC’s Multi-Year and No-Year request is \$304,339K. The Multi-Year/No-Year budget includes \$183,200K in Line Item Construction Program (LICP) projects. In addition, the request includes the following non-LICP Multi-Year and No-Year items:

- House Historic Buildings Revitalization Trust Fund, No-Year (\$10,000K)
- Restoration & Renovation of the Cannon House Office Building, No-Year (\$62,000K)
- Minor Construction (\$38,500K)
- House Chief Administrative Officer Projects (\$7,540K)
- Joint Audible Warning System, No-Year (JAWS) (\$2,500K)
- Conservation of Fine Art and Architectural Art, CB (\$599K)

The chart below identifies the AOC’s FY 2021 Multi-Year and No-Year request by Appropriation.





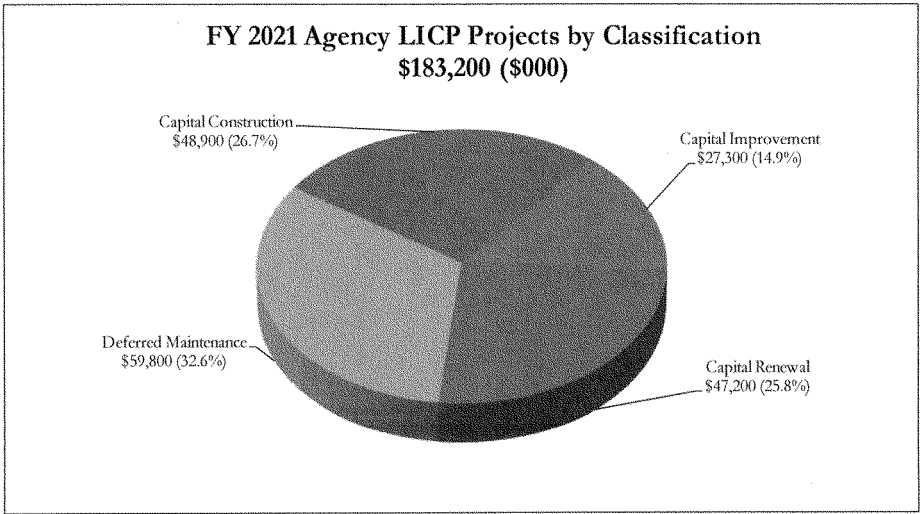
AOC Overall FY 2021 Budget

LINE ITEM CONSTRUCTION PROGRAM (LICP) PROJECTS

The AOC identified the highest priority requirements to meet the needs of Congress and other clients by using a Five-Year Capital Improvements Plan, Facility Condition Assessments, and the Capitol Complex Master Planning processes. Funding for these projects will enable the AOC to continue to maintain and increase the lifespan of facilities and improve services ranging from preserving priceless artwork to replacing roofs, installing emergency generators and improving campus security. There is a balance in addressing Deferred Maintenance and Capital Renewal Projects while also attending to necessary security requirements, energy-saving projects, code-compliance issues, historic preservation measures and the needs of the AOC’s clients.

The AOC categorizes major projects, or LICP projects in four classifications: Deferred Maintenance (past the end of useful life), Capital Renewal (approaching the end of useful life), Capital Improvement (improves, enhances or modernizes) and Capital Construction (new construction).

The chart below identifies the AOC’s FY 2021 LICP budget request by these four categories.





AOC Overall FY 2021 Budget

LICP PROJECTS LIST

The Architect of the Capitol's capital budget request is focused on immediate urgency projects. The table below identifies the LICP projects that the AOC recommends for FY 2021 funding.

Priority	LICP Project Name	Appropriation	Project Classification	Project Cost (\$000)
1	West Main Pavilion, Exit Stair G, TJB	LB&G	CI	2,000
2	Barrier Lifecycle and Security Kiosk Repairs and Replacement, CPBG&S	CPBG&S	CR	8,300
3	Resiliency Upgrades, OSP	CPBG&S	CR	2,400
4	Rain Leader Replacement, JAB	LB&G	DM	2,100
5	Production Facility Renewal, BGDC	BG	CC	4,300
6	Fire Alarm System Replacement, HSOB	SOB	CR	13,100
7	Campus Wide Utility Survey	CG	DM	4,800
8	Collection Storage Module 7, Fort Meade	LB&G	CC	41,500
9	Piping Replacement & Egress Improvements, RPR, WRP	CPP	DM	28,400
10	Exterior Masonry and Envelope Repairs, JAB	LB&G	DM	2,000
11	Stained Glass Window Repairs, TJB	LB&G	DM	8,900
12	Cannon-Capitol Tunnel Improvements	HOB	DM	5,000
13	Sixth Floor Terrace, JMMB	LB&G	DM	8,600
14	Pipe Expansion Joint Improvements, G Tunnel	CPP	CR	5,300
15	Computer Room Air Conditioning Unit Replacements, OSP	CPBG&S	CR	5,300
16	Sprinkler System Installation, USC	CB	CI	6,000
17	Campus-Wide Lighting Analysis	CCO	CI	1,500
18	Consolidated Operations Center Assessment Study	CCO	CC	2,000
19	Building Infrastructure Upgrades, RSOB	SOB	CR	3,100
20	East Plaza Lighting Upgrade & Restoration, USC	CPBG&S	CI	8,900
21	Chiller Replacement and Chilled Water System Expansion, OSP	CPBG&S	CI	4,700
22	Capitol South Arrival Area Study	CCO	CC	1,100
23	USCP Conduit Installation, OSP	CPBG&S	CI	2,900
24	Resilient Charging Infrastructure Study, All Campus	CCO	CI	1,300
25	Performing Arts Reading Room Renovation, JMMB	LB&G	CR	9,700

Total FY 2021 Funding Requested

183,200

Project Classification:

DM = Deferred Maintenance; CR = Capital Renewal; CI = Capital Improvement; CC = Capital Construction



AOC Overall FY 2021 Budget

PROGRAM GROUP DESCRIPTIONS

The Operating Budget for each appropriation is segregated into Program Groups that incorporate functional areas as defined below. Detailed justifications for requested funding for Program Groups are provided for each appropriation as contained in this budget submission.

Administrative (AD):

The **Administrative** Program Group provides funding for printing and reproduction; office equipment and supplies; postage and metered mail; graphic design; centralized vehicle leases, operations and maintenance; and payroll processing support from the National Financial Center. It includes consultant services and ongoing agency-wide strategic planning, performance improvement and best practices research.

Architectural and Engineering Services (AE):

The **Architectural and Engineering Services** Program Group provides funding for a design package for LCP budget submissions as well as for construction of client requested projects (USCP, SSAA and HSAA) and AOC facility needs. The project packages will include the scopes of work, requirements, designs and independent government estimates for each project.

Curator (CR):

The **Curator** Program Group provides funding for stewardship of invaluable heritage assets including architectural art such as murals, the Statue of Freedom and joint fine and decorative art such as the National Statuary Hall statues. Paint studies support the accurate restoration of historic areas. The Curator promotes preservation awareness through educational programs and facilitates historical research. The group preserves and makes available archives of architectural drawings, textual records and photographs. It is responsible for critical photo documentation of contractual projects and congressional events and supports publications and exhibits.

Exhibits (EX):

The **Exhibits** Program Group provides funding for the fabrication, installation and purchase of supplies for public displays such as botany and plant exhibits, the holiday “train” exhibit, orchid exhibits, terrace exhibits and other temporary exhibits. Funding supports the holiday exhibit which runs from Thanksgiving through New Year’s Day and encompasses the highly anticipated holiday trains along with many plant-based building replicas such as the U.S. Capitol Building, Washington, D.C., monuments, the White House, the U.S. Supreme Court Building, U.S. Botanic Garden Conservatory and other congressional buildings. The terrace exhibit runs from late spring to early fall. It provides educational programs and horticultural exhibits such as living walls, green roofs, botanical displays, pollinator demonstrations and gardens for the health and well-being of visitors of all ages. The remaining funds are for the popular orchids exhibit and other special exhibitions and displays.



AOC Overall FY 2021 Budget

PROGRAM GROUP DESCRIPTIONS (continued)

Facilities Maintenance (FM):

The **Facilities Maintenance** Program Group provides funding for general building security maintenance services required throughout the Capitol Complex, to include repairing and modifying air conditioning systems, electrical systems, elevators, masonry, and plumbing; custodial services; subway maintenance and repair; preventive interior and exterior building maintenance (e.g., painting, pointing, caulking, and surface preservation); insect and pest control; solid and bulk waste disposal; maintenance of fire alarm systems, hydraulic barriers and bollards; and chimney cleaning and repairs. Additionally, funding provides security infrastructure support of all special events across the Capitol complex such as concerts, the State of the Union, public demonstrations and marches. Funding also provides maintenance for daily Library of Congress off-site locations in Culpeper, Virginia, Fort Meade, Maryland, and the Packard Campus of the National Audio-Visual Conservation Center. The request covers costs associated with the extensive air and wastewater testing, sampling and permit process that is required to support the laboratory and film processing activities. Funding provides for improvements in the irrigation systems which are located in the U.S. Botanic Garden Conservatory, outdoor gardens and greenhouses.

Furniture Repair (FR):

The **Furniture Repair** Program Group provides funding for the replacement and or repair of existing furniture, to include procurement of routine materials and supplies, contractor services for upholstery and drapery work and annual inventory of furniture items.

Grounds Maintenance (GM):

The **Grounds Maintenance** Program Group provides funding for the capability to continue to support existing service levels for comprehensive landscape maintenance and preservation of historic resources. As well as pavement and sidewalks, disposal of bulk and solid waste, landscaping maintenance and beautification, equipment and maintenance, and infrastructure and historic structures.

Inspector General (IG):

The **Inspector General** Program Group provides funding for the capability for the Office of Inspector General to carry out the requirements outlined in the AOC IG Act of 2007 including audits, evaluations and investigations. The AOC financial statement audit is also funded in this program group.

Information Resource Management (IR):

The **Information Resource Management** Program Group funds the procurement and operations of information technology for services, hardware and software. It provides contractor technical support services for the network, systems, cyber security, AOC Help Desk operations, project management and AOC hardware, software, communication equipment and services. Additionally, Information Resource Management is responsible for information technology projects, including the human capital management system, CVC Advanced Reservation System used by Congress and the public to book tours, and Computer-Aided Facility Management system and licenses.



AOC Overall FY 2021 Budget

PROGRAM GROUP DESCRIPTIONS (continued)

Jurisdiction Centralized Activities (JR):

The **Jurisdiction Centralized Activities** Program Group provides funding for training (local and long distance), registration and seminar fees; travel costs; uniform allowances, facility leases, vehicles leases, operations and maintenance; waste recycling; safety apparel; emergency preparedness; and gasoline and oil. Additional funds are used for resilience and security contracts and educational and partnership programs.

Payroll (PR):

The **Payroll** Program Group provides funding for the salaries and benefits for government staff. It includes salaries and other compensation (e.g., paid leave and lump sum annual leave payments upon separation); compensation above basic rates including overtime and holiday pay, and employer contributions to the Civil Service Retirement System, the Federal Employees Retirement System and the Thrift Savings Plan; employer contributions to Social Security, Medicare, Federal Employees Health Benefits and Federal Employees Group Life Insurance.

Plant Operations and Maintenance (PM):

The **Plant Operations and Maintenance** Program Group provides funding for the inspections of equipment, general annual repairs and maintenance, purchase of industrial supplies, operation and maintenance of the utility distribution system, exterior building maintenance and hazardous material abatement. Operation and maintenance of the utility distribution system includes steam station repairs, concrete repairs, re-insulation work to steam lines, and the operations and maintenance contract for the utility distribution systems. General repairs and industrial supplies accounts provide repairs, maintenance, and chemicals to boiler and refrigeration equipment.

Safety Engineering Operations and Maintenance (SF):

The **Safety Engineering Operations and Maintenance** Program Group provides funding for safety equipment; supplies; education and training; consultant support for sampling and assessments (air, water, waste, storage tanks, etc.); and program planning for the AOC's safety, fire, environmental and emergency preparedness programs. It also includes funds for the operations and maintenance of AOC-wide automatic defibrillators to replace units at the end of their service life.

Utilities (UT):

The **Utilities** Program Group provides funding for all utilities for the entire Capitol campus, including other facilities under the jurisdiction of the AOC such as the National Audio-Visual Conservation Center, Library of Congress facilities at Ft. Meade, the Alternate Computing Facility, the Senate Sergeant at Arms Mail Facility, payment for the Energy Savings Performance Contracts (ESPC) and payment for the Utility Energy Savings Contract (UESC) for the Capitol Power Plant Cogeneration project. Funds the costs of electricity, natural gas, ESPC/UESC payments, fuel oil, water and sewer services, steam, chilled water, and related utility studies and energy reduction services.



AOC Overall FY 2021 Budget

PROGRAM GROUP DESCRIPTIONS (continued)

Visitor Services (VS):

The **Visitor Services** Program Group provides funding for Capitol Visitor Center Operations Support. This includes funding for general operations support; to provide annual maintenance and replacement of the listening devices used by the guides and visitors during tours; maintenance of the radios used by the Visitor Services staff; and maintenance of a fleet of shuttles. This program group also includes funding for audio-visual support to include all annual maintenance contracts and replacement part requirements for the audio-visual equipment in the Congressional Auditorium, the Congressional Meeting Rooms, Exhibition Hall and other public spaces. The program group includes funding for public awareness to include the development of websites, social media and other digital engagement tools, as well as the production of materials in support of visitor engagement and public education. The funds requested will be used to support high-quality exhibit rotations, to maintain the operational aspects of Exhibition Hall and funding for Exhibition Hall education, public programs, exhibit conservation and supplies. Finally, the program group funds planning and evaluation activities to include resources needed to monitor visitor satisfaction.

FY 2020 Funding Allocation Document

COMS Project #
COLC1919

Fund Appropriation VO155 ☒ Project Title Book Conveyor Removal and Infrastructure Repairs Budget Fiscal Year 2019/2023 Date 3/9/2020

Allocation Project Group	Allocation Program / Project Code	Activity Code	Object Class (Auto Fill)	Line Item Description (Auto Fill)	Allotment	Total Spending	Available Amount (Auto Fill)	Net Increase or Decrease	Revised Allotment (Auto Fill)	See Notes
LC07009	LC07009C	P3500 <input checked="" type="checkbox"/>	N/A	Construction Contingency	\$449,005.33	\$0.00	\$449,005.33	\$365,708.89	\$83,714.22	
LC07009	LC07009C	P3600N <input checked="" type="checkbox"/>	N/A	CD Operational Costs (Indirect)	\$119,468.75	\$78,461.42	\$41,007.33	\$1,350,022.00	\$1,469,480.75	
LC07009	LC07009C	P3202N <input checked="" type="checkbox"/>	N/A	CD Labor (Direct)	\$160,551.48	\$89,247.23	\$51,304.25	\$1,697,527.00	\$1,828,078.48	
LC07009	LC07009C	P3203N <input checked="" type="checkbox"/>	260	CD Materials (Direct)	\$7,317.75	\$6,689.48	\$628.27	\$242,446.00	\$289,963.75	
LC07009	LC07009C	P3502N <input checked="" type="checkbox"/>	N/A	CD Contingency	\$26,733.80	\$0.00	\$26,733.80	\$332,019.00	\$358,752.80	
LC07009	LC07009C	P2200 <input checked="" type="checkbox"/>	251	A/E Design Refresh	\$250,000.00	\$0.00	\$250,000.00	(\$250,000.00)	\$0.00	
LC07009	LC07009C	P2202 <input checked="" type="checkbox"/>	251	Construction Contract Admin	\$112,243.00	\$0.00	\$112,243.00	(\$112,243.00)	\$0.00	
LC07009	LC07009C	P2670 <input checked="" type="checkbox"/>	251	Contracted Construction Mgmt Services	\$438,879.00	\$0.00	\$438,879.00	(\$438,879.00)	\$0.00	P2312
LC07009	LC07009C	<input checked="" type="checkbox"/>			\$121,680.00	\$0.00	\$121,680.00	(\$121,680.00)	\$0.00	
LC07009	LC07009C	<input checked="" type="checkbox"/>	320	Construction Contract Cost	\$2,999,778.89	\$0.00	\$2,999,778.89	(\$2,999,778.89)	\$0.00	
LC07009	LC07009C	P3600 <input checked="" type="checkbox"/>	251	Govt Testing, Inspection and QC	\$96,342.00	\$0.00	\$96,342.00	(\$96,342.00)	\$0.00	
Totals					\$4,762,000.00	\$174,398.13	\$4,587,601.87	\$0.00	\$4,762,000.00	

The use of these funds is subject to the provisions of Title 31 USC 1301, 1341, 1342, 1502, and 1517. Should you have any questions regarding the use of these funds contact the Budget Office at 202-226-0900.

Notes PCOM: 2 estimated cost to complete initial project; realigning non-CD funds into overall project contingency

Jurisdiction (or Delegated) Approval		Jurisdiction (or Delegated) Approval	
milewis Signature		3/12/2020 DMS Signed	
Lewis, Michael Print Name			
CD Initials		Electronic CC	
Budget Office Only		Budget Office Only	
Budget Analyst Approval		Signature	
Budget Officer Approval		Date	
Not Required		Signature	
		Date	

Legislative Language



COMPENSATION

The compensation of the Architect of the Capitol shall be at an annual rate which is equal to the maximum rate of pay in effect under section 105(f) of the Legislative Branch Appropriation Act, 1968 (2 U.S.C. 4575(f)).¹

Sectional Analysis

This legislation would amend the Architect of the Capitol's compensation statute to make the Architect's salary comparable to other legislative branch agency heads. Specifically, the Librarian of Congress, Comptroller General, and Director of the Government Publishing Office are compensated at an annual rate of pay equal to Executive Schedule Level II. Like the Architect, these other legislative branch agency heads perform non-partisan functions and are appointed by the President with Senate confirmation. This change would eliminate the compensation disparity between the Architect and the other legislative branch agency heads, and may assist the Congress in attracting a broad talent pool of candidates for the next Architect of the Capitol. The salaries of the Deputy Architect/Chief Operating Officer, Inspector General, Chief Executive Officer for Visitor Services, and Assistant Architect are linked to the Architect's salary so the change could potentially impact their pay as well.

Proposed Language

2 U.S.C. § 1802 is hereby amended by striking all that follows:

After "is equal to" and inserting the following: "the rate for level II of the Executive Schedule under subchapter II of chapter 53 of title 5."

¹ This new provision was included in the 2020 appropriations bill but has not been codified yet.

Legislative Language



ARCHITECT OF THE CAPITOL REIMBURSEMENT FUND

Proposed Language

Title 2 United States Code is hereby amended by adding the following new section:

(a) Establishment.—There is hereby established in the Treasury of the United States a revolving fund (hereinafter “Fund”) for the Architect of the Capitol, which shall be available without fiscal year limitation, for expenses of common construction and maintenance activities.

(b) Availability of amounts.—Amounts in the Fund shall be available to the Architect of the Capitol for the reimbursement of expenses for construction, capital repairs, renovations, rehabilitation, maintenance of real property, and agency expenses as required by the Architect of the Capitol jurisdictions.

(c) Contents.—The capital of the Fund consists of—

(1) amounts appropriated to the Fund;

(2) the reasonable value of stocks of supplies, equipment, and other assets and inventories on order that the Architect transfers to the fund, less related liabilities and unpaid obligations;

(3) receipts from the sale or exchange of property held in the Fund;

(4) all miscellaneous receipts compensating the Architect of the Capitol for loss or damage to any Government property under the Architect’s jurisdiction or care, including but not limited to the United States Botanic Garden;

(5) reimbursements or advances pursuant to subsection (d); and

(6) amounts transferred to the Fund pursuant to subsection (f).



Legislative Language

(d) Reimbursement.—The Fund shall be credited with reimbursements or advances from available accounts of the Architect of the Capitol for supplies, materials, services, and related expenses, at rates which will approximate the full cost of operations, including charges to employee leave and benefits; depreciation of plant, property, and equipment; and overhead.

(e) Initial capitalization.—There is appropriated \$3,000,000 as initial capitalization of the Fund. In addition, the initial capitalization shall include the fair and reasonable value at the Fund's inception of the inventories, equipment, receivables, and other assets, less liabilities, transferred to the Fund.

(f) Subsequent transfers from other accounts.—Subject to the approval of the Committees on Appropriations of the Senate and the House of Representatives in accordance with 2 U.S.C. § 1862, the Architect is authorized to transfer amounts from other available Architect of the Capitol accounts to the Fund in accordance with 2 U.S.C. § 1862.

(g) Effective date.—This section shall apply with respect to fiscal year 2020 and each succeeding fiscal year.



GAO-IG Act Reporting

Report Title	Report Number	Issue Date	Rev. No.	Recommendation	Office	Implementation Status
Audit of the AOC, ITD Contracting Services BPA AOC16A3060	OIG-AUD-2019-03	7/30/2019	A.1	Contracting officials ensure the IGCE is adequately supported and documented in the contract file in accordance with AOC guidance.	Acquisition and Material Management Division and Information Technology Division	Concur. AMMD will develop and issue an Information Letter (IL) providing guidance to requirement developers and Contract Specialists clarifying the types of estimates that are allowable for submission with proposals and the types of estimates that are not allowable in the contract file. The IL will be completed by the end of the second quarter, FY 2020.
Audit of the AOC, ITD Contracting Services BPA AOC16A3060	OIG-AUD-2019-03	7/31/2019	B.1	Recommendation: Acquisition and Material Management Division (AMMD) clarify in the Contracting Manual 34.1 – Section 13.1.2 (COTR) the requirement for the CO's regular review of the COTR records to ensure proper performance of post award administration.	Acquisition and Material Management Division	Not Concur. AMMD provides clear guidance to COs regarding the regular review of COTR records. This requirement is contained in each CO's annual performance plan, and managers track this as the CO's mid-year and end-of-year reviews as an internal control.
Audit of the AOC, ITD Contracting Services BPA AOC16A3060	OIG-AUD-2019-03	7/30/2019	B.2	AMMD clarify in the Contracting Manual 34.1 – Section 13.1.2 (COTR) the use of the COTR Review Checklist by all staff to ensure proper COTR performance of post award administration.	Acquisition and Material Management Division	Not Concur. AMMD provides clear guidance to COs regarding the regular usage of the COTR Review Checklist in the Contracting Manual and supplemental instructions.
Audit of the AOC, ITD Contracting Services BPA AOC16A3060	OIG-AUD-2019-03	7/30/2019	B.3	The CO and COTR review the claims as required in the Contracting Manual 34.1 – Section 13.1.2 (COTR) and the Contracting Manual 34.1 – Section 13.1.2(c) COTR for the ITD BPA Task Order No.1.	Acquisition and Material Management Division and Information Technology Division	Partially Concur. AMMD will perform an independent review of contract file documentation to determine what improvements can be made. Upon completion of this review, AMMD will develop an IL providing detailed guidance on expectations. The IL, along with in-house training, will be used to ensure all AOC staff understand the requirements for the COTR review to be completed by the end of the second quarter, FY 2020.
Audit of the AOC, ITD Contracting Services BPA AOC16A3060	OIG-AUD-2019-03	7/30/2019	B.4	The CO and COTR document and maintain detailed records of the COTR and contractor's performance.	Acquisition and Material Management Division and Information Technology Division	Concur. As noted in the response to Recommendation B.3, AMMD will perform an independent assessment of contract file documentation to determine what improvements can be made. Upon completion of this review, AMMD will develop an IL providing detailed guidance on expectations. The IL, along with in-house training, will be used to ensure all AOC staff understand the requirements for the COTR review to be completed by the end of the second quarter, FY 2020.
Audit of the AOC, ITD Contracting Services BPA AOC16A3060	OIG-AUD-2019-03	7/30/2019	B.5	The AOC establish proper internal controls to ensure the performance of CO and COTR post award administration duties.	Acquisition and Material Management Division and Information Technology Division	Partially Concur. By the end of the third quarter of FY 2020, AMMD will revise ambiguous language in Order 34.1 to ensure COTR reviews are consistent with current guidance and staffing resources. More frequent reviews of COTR files and documentation will occur once additional resources are in place.



GAO-IG Act Reporting

Report Title	Report Number	Issue Date	Rec No.	Recommendation	Office	Implementation Status
Audit of the AOC ITD Contracting Services BPA AOC16A360	ORG-AUD-2019-03	7/30/2019	B.6	The CO develop measurable performance standards and quality assurance plans for Task Order No. 1.	Acquisition and Material Management Division and Information Technology Division	Partially. Concur. AC will include a Quality Assurance Surveillance Plan, which delineates measurable performance standards, in the contract file and other documents awarded under performance-based acquisition contracts. The AC will develop a Quality Assurance Work Statement, by the end of the 3rd quarter, FY 2020. AMWD will develop an IL providing detailed guidance on expectations for the initiation of a Quality Assurance Surveillance Plan under performance-based acquisitions. The IL will be developed by the end of the 3rd quarter, FY 2020. The IL will be developed by the end of the 3rd quarter, FY 2020. The IL will be developed by the end of the 3rd quarter, FY 2020.
Audit of the AOC ITD Contracting Services BPA AOC16A360	ORG-AUD-2019-03	7/30/2019	B.7	The CO establish proper internal controls to ensure that contracting documents include measurable performance standards and quality assurance plans.	Acquisition and Material Management Division	Concur. AMWD will update the section in Order 34-1 that addresses performance based contracting to cover the requirements for the development and use of performance work statement and the requirements for using a Quality Surveillance Plan. The update will be completed during the 3rd quarter, FY 2020.
Audit of the AOC Capital Power Plant Cogeneration Facility	ORG-AUD-2019-05	9/30/2019	A.1	The AOC incorporate well-defined contract requirements for future Utility Energy Service Contracts (UESC) to include but not limited to: • Commissioning requirements – General Description, Commissioning Roles and Responsibilities, System to be Commissioned, Commissioning Plan, Scheduling, Commissioning Report • Reliability Run requirements – Duration, Classification of Interruption, and Scheduling	Acquisition and Material Management Division, Capital Power Plant, and Planning and Project Management	Concur. Many types of projects involve the need for commissioning. The AOC is updating its 2010 Commissioning Guidelines and will include provisions in the update to address the issues raised by the OIG. The AOC expects to complete this update by July 2020.
Audit of the AOC Capital Power Plant Cogeneration Facility	ORG-AUD-2019-05	9/30/2019	A.2	The AOC enhance its contracting policies and procedures for cognation and execution of UESC to include developing contract templates for future projects that reflect lessons learned and current industry practices.	Acquisition and Material Management Division	Concur. The AOC will prepare a lessons learned document by January 31, 2020, covering the Cogeneration Project to address the issues identified by the OIG. This document will be used to enhance contracting policies and procedures should the AOC decide to pursue another UESC.
Audit of the AOC Capital Power Plant Cogeneration Facility	ORG-AUD-2019-05	9/30/2019	A.3	The AOC establish well-defined AOC policies and procedures for providing and documenting oversight of UESC contracts and ensure compliance.	Acquisition and Material Management Division, Capital Power Plant, and Planning and Project Management	Concur. The AOC will include oversight in the lessons learned document discussed in Recommendation A.2 and ensure that all UESC contracts and procedures should another UESC be pursued in the future.



GAO-IG Act Reporting

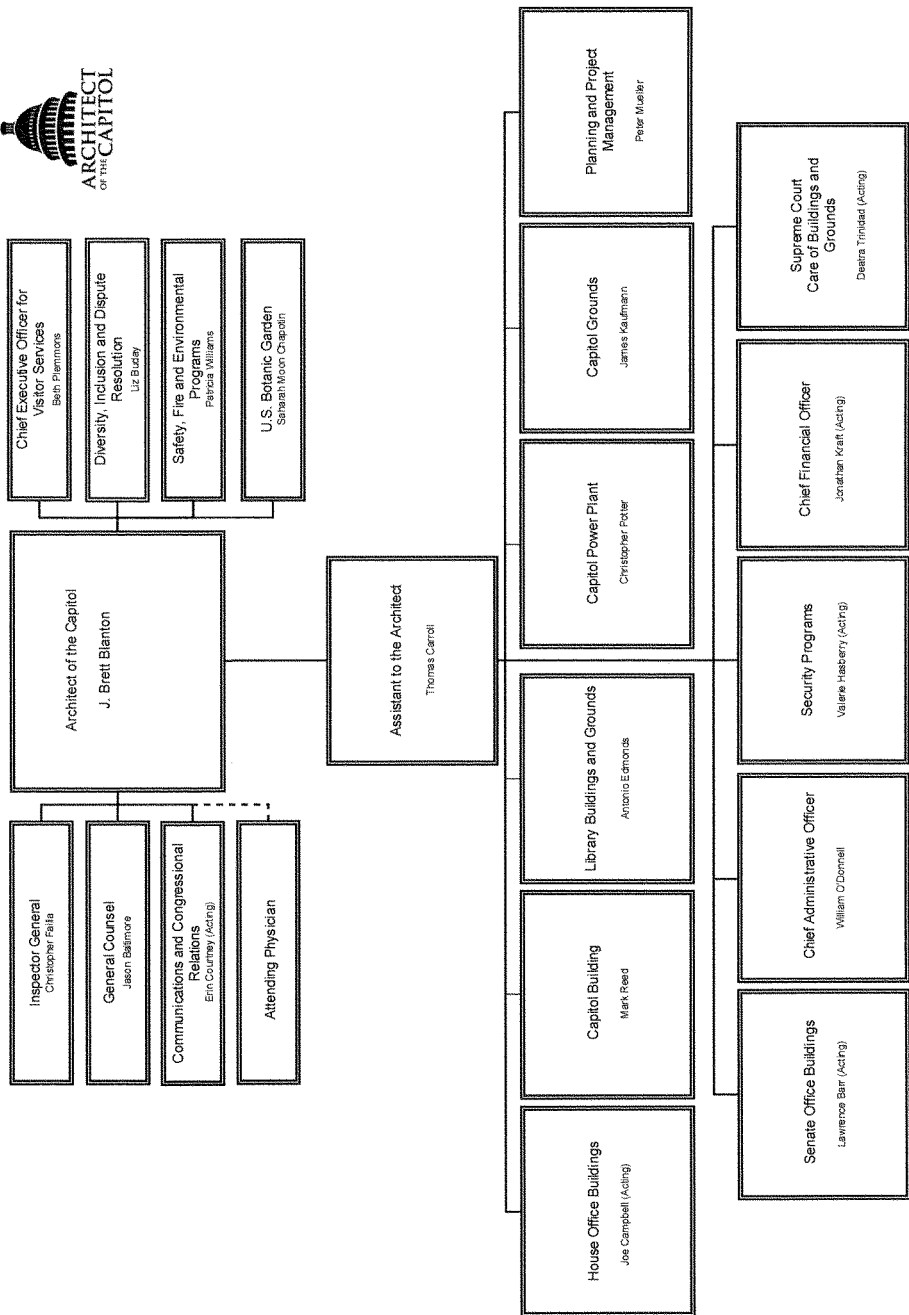
Report Title	Report Number	Issue Date	Rec. No.	Recommendation	Office	Implementation Status
William J. Evans, Director of the AOC's Compliance with Federal Workers' Compensation Act Program	2018-0001-IE-P	6/25/2018	A.1	The Workers' Compensation Program (see W.C.H.S.) update their writers procedures to reflect current practices.	Human Capital Management Division	Concur: The AOC has updated AOC Order 810-1 Workers' Compensation, as recommended by the Office of Inspector General. The revised policy adopts a holistic approach to ensure integration between HC&M and Salary, Hire and Environmental Programs' handling of workers' compensation. The revised policy is being implemented through the AOC's approval process and is expected to be presented to the new Architect for review and approval in early February.
Evaluation of the AOC's Cyber Security Program	2018-0001-IE-P	4/10/2019	1	Due to the sensitive nature of the evaluation, specific language pertaining to findings and recommendations is protected and not disclosed.	Information Technology Division	Concur: The AOC anticipates that corrective action to address the recommendation will be complete by the end of the second quarter, FY 2020.
Evaluation of the AOC's Cyber Security Program	2018-0001-IE-P	4/10/2019	2	Due to the sensitive nature of the evaluation, specific language pertaining to findings and recommendations is protected and not disclosed.	Information Technology Division	Concur: The AOC anticipates that corrective action to address the recommendation will be complete by the end of the second quarter, FY 2020.
Evaluation of the AOC's Cyber Security Program	2018-0001-IE-P	4/10/2019	3	Due to the sensitive nature of this evaluation, specific language pertaining to findings and recommendations is protected and not disclosed.	Information Technology Division	Concur: The AOC concurs. Corrective action to address the recommendation is complete.
Evaluation of the AOC's Inventory Accountability and Controls	2018-0002-IE-P	8/20/2019	A	The Chief Administrative Officer update and revise AOC Order 34-45 (Personal Property Manual) and all other associated policy directives to establish internal control requirements, including standard definitions and criteria for highly pilferable and mission critical non-consumable property valued less than \$1,500.	Acquisition and Material Management Division	Concur: The AOC concurs with updating Property Manual 34-45 to identify pilferable and mission essential property under \$1,500. To define pilferable and mission essential property under \$1,500, plus the impact on resources, will require coordination with the jurisdiction's working group and system. The working group will convene by the end of the second quarter, FY 2020.
Evaluation of the AOC's Inventory Accountability and Controls	2018-0002-IE-P	8/20/2019	B.1	The Chief Administrative Officer update and revise AOC Order 34-45 (Personal Property Manual) and all other associated policy directives to establish guidelines to document, report and track missing non-consumable property valued less than \$1,500.	Acquisition and Material Management Division	Concur: The AOC concurs with updating Property Manual 34-45 to document, report and track missing non-consumable property valued at less than \$1,500. This will be done by the end of the second quarter, FY 2020.
Evaluation of the AOC's Inventory Accountability and Controls	2018-0002-IE-P	8/20/2019	B.2	The Chief Administrative Officer update and revise AOC Order 34-45 (Personal Property Manual) to enforce the requirement for mission critical non-consumable property valued less than \$1,500 to be recorded in the personal property management system.	Acquisition and Material Management Division	Concur: The AOC concurs with updating Property Manual 34-45 to enforce the requirement for mission critical non-consumable property valued at less than \$1,500 to be recorded in the property management system. This will be done by the end of the 2nd quarter, FY 2020.
Evaluation of the AOC's Inventory Accountability and Controls	2018-0003-IE-P	8/20/2019	C	The Architect of the Capitol direct an organizational assessment to determine the feasibility of creating full-time property management positions that directly deal with property management.	Acquisition and Material Management Division	Concur: The AOC concurs that having full time accountable property officers and property custodians is a good idea. However, this is a position/budget issue that will be addressed through the AOC's working group to the availability of funds, a review and/or study of this recommendation will be done by the end of the third quarter, FY 2020.

Report Title	Report Number	Issue Date	Rec No.	Recommendation	Office	Implementation Status
Evaluation of the AOC's Inventory Accountability and Controls	2014-0002-IE-P	8/20/2019	E-1	The Architect of the Capitol revises all existing allocated and assigned storage space across each jurisdiction and reallocate and reassign facility space based on the needs of the jurisdictions.	Acquisition and Material Management Division	Complete. The AOC concurs with reviewing existing storage spaces across jurisdictions and reallocation based on the needs of the jurisdictions. Jurisdictional input is required, and possibly a feasibility study. Subject to review and approval, the study will be done by the end of the third quarter, FY 2020.
Evaluation of the AOC's Inventory Accountability and Controls	2014-0002-IE-P	8/20/2019	E-2	The Architect of the Capitol complete a cost estimate and assess the feasibility of building a consolidated and centralized AOC inventory control center.	Acquisition and Material Management Division	Complete. The AOC concurs with assessing the feasibility of a centralized inventory center. This task requires jurisdictional input and a possible feasibility study. Subject to availability of funds, review and/or study will be done by the end of the third quarter, FY 2020.
Evaluation of the AOC's Compliance with the Government Purchase Card Program	2014-0003-IE-P	8/13/2019	A-1	We recommend that the XAMND identify and implement data analytics software that can automate continuous credit transaction monitoring and reviews. This should include automation for detection of potential split-purchases as well as for use of potentially inappropriate AOC's or third-party vendors.	Acquisition and Material Management Division	The AOC concurs that if further funding is received, data analytics software to assist in purchase card monitoring would be a wise investment and enhance monitoring. By the end of the second quarter of FY 2020, the AOC will identify a data analytics software to monitor for split purchases. The AOC will not be able to already exist at the AOC, procurement will be necessary and will be executed subject to the availability of funds.
Evaluation of the AOC's Compliance with the Government Purchase Card Program	2014-0003-IE-P	8/13/2019	A-2	We recommend the AOC increase staffing levels for purchase card oversight.	AOC	The AOC concurs additional staffing is needed. Our fiscal year 2020 budget indicated a request for five additional positions for purchase card oversight. One of these positions will be a procurement analyst who will start with the purchase card program.
Evaluation of the AOC's Compliance with the Government Purchase Card Program	2014-0003-IE-P	8/13/2019	A-3	We recommend that the XAMND develop written procedures for the AOC daily, monthly, and annual purchases and reviews.	Acquisition and Material Management Division	The AOC concurs and will develop a Standard Operating Procedure for purchase card reviews by the end of the third quarter, FY 2020.
Evaluation of the AOC's Compliance with the Government Purchase Card Program	2014-0003-IE-P	8/13/2019	H	We recommend the AOC update purchase card use guidance and training to include examples of split purchases and how to avoid them.	AOC	The AOC concurs with making guidance clearer in the CM on split purchases and strategies on how to avoid them. The AOC Chief Financial Officer is currently developing additional reporting capabilities that will be implemented in the XAMND procurement card program by the end of the third quarter, FY 2020.



Advertising Contracts

In FY 2019, the Architect of the Capitol expended \$21,903 to advertise job postings in various trade publications.





Capital Construction and Operations



AOC MISSION

To **serve** Congress and the Supreme Court, **preserve** America's Capitol, and **inspire** memorable experiences.

RESPONSIBILITIES IN SUPPORT OF AOC MISSION

The Capital Construction and Operations (CCO) jurisdiction provides direct support to the AOC jurisdictions and organization to ensure that Congress is able to perform its responsibilities to enact legislation for governance of the United States.

The CCO appropriation provides for campus-wide architectural and engineering design; project, property and construction management; planning and development; Congressional election year move designs; in-house construction efforts for major projects across the Capitol campus; information technology services, systems and tools, including work order management systems; safety, fire and environmental monitoring services and reporting; emergency operations; financial management including budget, accounting, financial systems and inventory management systems; legal services; human capital management; communications and congressional relations; procurement, including major construction contracts, service contracts, small purchases and leases; management of historic preservation, sustainability and energy and water conservation programs; high voltage operations; maintenance of street lights, generators and high voltage electrical infrastructure; legislative clocks and call system; congressional cable TV; building automation; audio/visual support for hearings and special events such as State of the Union addresses and Presidential Inaugurations.

For a complete list of CCO facilities, please refer to the "Areas and Responsibilities Summary" table in the Budget Request.



Capital Construction and Operations

RESPONSIBILITIES IN SUPPORT OF AOC MISSION (continued)

The Capital Construction and Operations appropriation includes the following offices:

Chief Administrative Officer (CAO) - provides AOC-wide services that include: the office of the Architect of the Capitol, legal counsel; information technology; human capital management; Equal Employment Opportunity and diversity programs; strategic planning and programs to improve organizational performance and promote innovation; acquisition and material management; communications and Congressional relations; preservation and documentation of heritage assets, research and curatorial expertise. It includes the Office of the Attending Physician as a service under CAO offering medical surveillance and support of health units.

Chief Financial Officer (CFO) - provides management oversight and direction for AOC financial management programs, resources and services including: accounting, budgeting, financial/inventory management systems and enterprise risk management.

Office of Inspector General (OIG) - conducts independent audits and investigations, reviews and evaluations of AOC operations and programs, including major construction projects, to promote economy and efficiency and to detect and prevent fraud, waste and abuse. The IG, who reports directly to the Architect of the Capitol, serves pursuant to the Architect of the Capitol Inspector General (AOC IG) Act of 2007. The OIG reviews existing or proposed laws, regulations, orders and policies for their impact on economy and efficiency and recommends new policies, as appropriate. As an independent, objective office within the AOC, the OIG is responsible for promoting economy and efficiency and preventing and detecting fraud, waste and abuse in AOC operations.

Planning and Project Management (PPM) - provides long-range facility planning, architectural and engineering design, interior design, historic preservation, construction services, project and risk management programs, along with other technical services in support of projects; conducts campus master planning, building performance audits, retro-commissioning and Facility Condition Assessments; manages a sustainability, energy and water conservation program to develop and implement energy savings initiatives; provides project funded in-house construction services; provides facility management services of large critical campus-wide systems that span across jurisdictions including electrical distribution, emergency generators, cable television and legislative clocks.

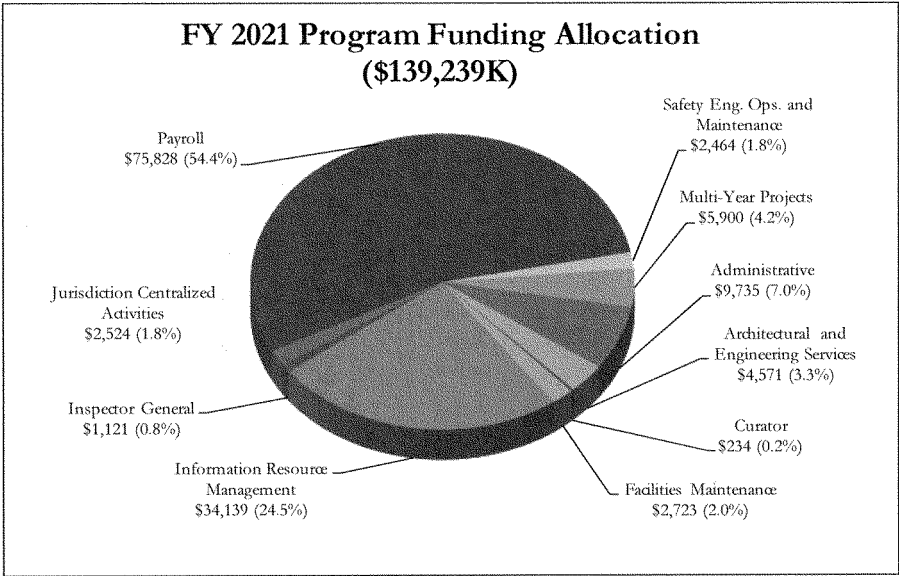
Safety, Fire and Environmental Programs (SFEP) - manages the AOC's safety, fire, environmental and emergency preparedness programs and activities; provides policy, technical expertise and guidance, program planning, hazardous material abatement oversight, and environmental permitting; and serves as the AOC point of contact with external safety and environmental regulatory agencies. SFEP supports capital projects by reviewing technical requests for information, conducting inspections and fire and life safety systems acceptance testing and signing-off on certificates of occupancy.



Capital Construction and Operations

PROGRAM SUMMARY:

The **Operating Budget** request funds all costs associated with AOC central office salaries, operations, activities and programs. The budget is divided into the following functional area Program Groups: Administrative; Architectural and Engineering Services; Curator; Facilities Maintenance; Information Resource Management; Inspector General; Jurisdiction Centralized Activities; Payroll; and Safety Engineering Operations and Maintenance.





Capital Construction and Operations

AREAS OF RESPONSIBILITY SUMMARY:

ASSIGNED FACILITIES

Facility Name/Type	Location	Year Built or Acquired	Area (square feet)	Deferred Maintenance (\$000)	Capital Renewal (\$000)	Backlog (\$000)
Construction Division Shop*	Washington, DC	1982	15,225	\$453	\$3	\$456
			15,225	\$453	\$3	\$456

Notes:

Deferred Maintenance: is defined as maintenance, repair or replacement work on existing facilities and infrastructure that is past due causing failure or partial

Capital Renewal: is defined as replacement in kind to correct unacceptable conditions caused by aged building components prior to failure.

Backlog: equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance within a five year window.

***Construction Division Shop:** is currently undergoing a re-assessment.

LEASED FACILITIES

Lease Type	Location	Area (square feet)	Leased from	Contract Award Date	Contract End Date	FY 2019 Enacted (\$000)	FY 2020 Enacted (\$000)	FY 2021 Request (\$000)
Construction Division Warehouse	Landover, MD	39,599	PacTrust Realty	July 2016	July 2021	\$679	\$684	\$689

Capital Construction and Operations



TOTAL BUDGET REQUEST – FUNDING SUMMARY

Total Budget (\$000)				
Appropriation	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
Operating Budget	103,962	120,000	133,339	13,339
Multi-Year Projects	-	-	5,900	5,900
Total	103,962	120,000	139,239	19,239

Operating Budget (\$000)				
Program Groups	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
Administrative	7,504	9,804	9,735	(69)
Architectural and Engineering Services	2,502	4,650	4,571	(79)
Curator	220	226	234	8
Facilities Maintenance	1,943	2,654	2,723	69
Information Resource Management	22,648	29,900	34,139	4,239
Inspector General	991	1,093	1,121	28
Jurisdiction Centralized Activities	4,212	2,461	2,524	63
Payroll	61,908	67,129	75,828	8,699
Safety Eng. Ops. and Maintenance	2,034	2,083	2,464	381
Total	103,962	120,000	133,339	13,339

Total Budget by Object Class (\$000)				
Object Class Groups	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
11 Personnel Compensation	45,214	49,027	55,380	6,353
12 Personnel Benefits	16,694	18,102	20,448	2,346
21 Travel	148	161	163	2
22 Transportation of Things	-	-	-	-
23 Rent, Communications & Utilities	614	1,242	1,316	74
24 Printing and Reproduction	115	113	122	10
25 Other Contractual Services	35,165	43,900	52,554	8,655
26 Supplies and Materials	3,258	3,296	3,413	117
31 Equipment	2,592	4,058	5,737	1,678
32 Land and Structures	162	100	105	5
42 Insurance Claims & Indemnities	-	-	-	-
Total	103,962	120,000	139,239	19,239



Capital Construction and Operations

TOTAL BUDGET REQUEST - ANALYSIS OF CHANGE

	FY 2021 Appropriation	
	FTE	Amount (\$000)
FY 2020 Enacted		120,000
Payroll Funded FTEs	407	
Program Realignment		
Realignment from Administrative to Payroll.....		(341)
Realignment from Architectural and Engineering Services to Payroll.....		(333)
Realignment from Information Resource Management to Payroll.....		(144)
Realignment from Administrative, Architectural and Engineering Services, and Information Resource Management to Payroll.....	5	818
Total Program Realignment/Transfers	5	-
Price Changes:		
Payroll Related:		
FY 2021 FERS Employer Contribution Rate Increase.....		822
FY 2021 Cost-of-Living Adjustment of 3.0%*.....		1,460
FY 2021 FEHB Employer Contribution of 3.2%.....		105
FY 2021 Within Grade Increase.....		463
Total Payroll Related Costs	-	2,850
Non-Payroll Related:		
FY 2021 Non-pay Inflation Increase of 2.5%.....		1,455
Lease Escalation Costs.....		10
Total Non-Payroll Related Cost	-	1,465
Total Current Services	-	124,315
Program Increases:		
Annual Program Increases:		
Enhanced Jurisdictional Payroll Support for Capital Projects.....	13	2,029
Enhanced Jurisdictional Non-Payroll Support for Capital Projects.....		320
Payroll Jurisdiction Operational Support.....	19	2,802
Non-Payroll Jurisdiction Operational Support.....		3,673
OIG Audit and Evaluation Plan.....	1	200
Total Annual Program Increases	33	9,024
Multi-Year Projects:		
Consolidated Operations Center Assessment Study.....		2,000
Campus-Wide Lighting Analysis.....		1,500
Resilient Charging Infrastructure Study, All Campus.....		1,300
Capitol South Arrival Area Study.....		1,100
Total Program Increases	33	14,924
Net Increase/Decrease	38	19,239
FY 2021 Total Appropriation	445	139,239

* Incorporated in the FY 2021 Cost-of-Living Adjustment is a 2.5% pay raise (\$1,217K) and a locality pay area adjustment of .5% (\$243K)



Capital Construction and Operations

OPERATING BUDGET REQUEST - SUMMARY OF CHANGES

The Operating Budget component of the CCO appropriation funds all costs associated with the Architect of the Capitol, central office salaries, operations, activities and programs. The budget is divided into functional area Program Groups. In accordance with sound financial management practices, these Program Groups are reviewed and adjusted to reflect changing program and pricing needs. Increases that cannot be absorbed are requested through the budget process.

Operating Budget (\$000)						
Program Groups	FY 2020 Enacted	Program Realignment/ Transfers & Non-Recurring	Price Increases	Program Increases	FY 2021 Request	FY 2020/2021 Difference
Administrative	9,804	(341)	272	-	9,735	(69)
Architectural and Engineering Services	4,650	(333)	125	129	4,571	(79)
Curator	226	-	8	-	234	8
Facilities Maintenance	2,654	-	69	-	2,723	69
Information Resource Management	29,900	(144)	839	3,544	34,139	4,239
Inspector General	1,093	-	28	-	1,121	28
Jurisdiction Centralized Activities	2,461	-	63	-	2,524	63
Payroll	67,129	818	2,850	5,031	75,828	8,699
Safety Eng. Ops. and Maintenance	2,083	-	61	320	2,464	381
Total	120,000	-	4,315	9,024	133,339	13,339

Program Changes Justification

The Fiscal Year (FY) 2021 Operating Budget Request shows an increase of **\$13,339K** from the FY 2020 Enacted level. It includes **\$4,315K** in price increases and **\$9,024K** in program increases.

Price Increases

The funding increase to the baseline includes inflationary costs for pay and non-pay programs based upon guidance from the Congressional Budget Office and lease escalation costs.

Program Realignment/Transfers

CCO Realignment (FTEs 5: \$818K)

The funding realignment of **\$818K** is from the Administrative, Architectural and Engineering Services, and Information Resource Management program groups to the Payroll program group. This realignment is the net to fully fund four contracts specialists and six planning and project managements positions procured in FY 2020.



Capital Construction and Operations

OPERATING BUDGET REQUEST (continued)

Program Increases

Payroll Increases (FTEs 33: \$5,031K):

Enhanced Jurisdictional Support for Capital Projects (FTEs 13; \$2,029K)

– Planning and Project Management (PPM) (FTEs 8; \$1,266K):

Funding is requested for eight FTEs to address in-house engineering and technical expertise to support jurisdictional (including the Supreme Court) capital and minor construction project requirements which are not included within the line item construction program (LICP). The AOC jurisdictions have requested increased PPM support for studies, planning, project design and development, construction oversight and project management. The positions requested represent the most urgent needs to meet the full portfolio of AOC projects anticipated for FY 2021.

– Acquisition and Material Management Division (AMMD) (FTEs 4; \$604K):

– Funding is requested for three acquisition specialists. Personnel are required to manage the contracting processes and reduce contract award and post award administrative lead times. Since FY 2014, the number of contract actions and contract lead times have gradually grown and have consistently been below the established AOC key performance indicator (KPI) of 80 percent. This percentage is the number of contracts processed within a set number of days, depending on the amount of the contract. For example, in FY 2014, 80.2 percent of approximately 3,200 contract actions were processed within the established KPI award lead times. By FY 2018, only 75.9 percent of approximately 4,000 contract actions were processed on time. Moreover, the dollars obligated in 2018 were nearly double the amount obligated in 2014 (\$232 million in 2014 and \$423 million in 2018). Additionally, the current ratio of orders/contracts for each contracting officer is 200 actions to one FTE. The goal is to achieve the government average contract load to under 100 per FTE. This budget request works toward that goal by bringing the contract load to 140 to one FTE. Without this funding, the ability to award contracts and procure supplies that support capital projects is at risk.

– Funding is requested for one property manager to manage the increased scope of the property program. Due to a recent Office of the Inspector General recommendation the AOC will now track and monitor all AOC property valued at less than \$1,500 which requires a significant amount of oversight and coordination with each jurisdiction.

– Curator Division (FTE 1; \$159K):

Funding is requested for one archivist to address increased demand in both photography and archivist support to the U.S. Capitol and Library Buildings and Grounds jurisdictions. As AOC projects continue into the future, the Curator Division work demands have shifted toward these projects. In order to meet AOC wide photography and archivist requirements funding is needed to manage the increasing backlog of non-House and non-Senate projects.

Jurisdiction Operational Support (FTEs 20: \$3,002K):

– Office of the Chief Administrative Officer (CAO) (FTEs 8; \$987K):

Funding is requested for eight FTEs to manage the increase workload and demand in the general counsel, human capital management, curator, and performance strategy and innovation divisions:

– The General Counsel division request funding for one paralegal specialist to assist the General Counsel business law attorneys in managing construction projects, new real estate assets under AOC control, increases in environmental law and Capitol Police Board matters.



Capital Construction and Operations

OPERATING BUDGET REQUEST (continued)

- The Human Capital Management Division (HCMD) request funding for three FTEs:
 - One Retirement and Benefits Counselor. Currently, there are two benefits/retirement personnel who manage an average of 1,200 employees each. The average benefits/retirement specialist should manage between 800 to 1,000 employees. Future projections indicates that the AOC will face a tremendous increase in the number of retirement estimates along with actual retirement applications from employees who are or have already reached retirement eligibility. If the trend continues, the current staff will not be able to handle the rapid growth, resulting in retirement processing delays.
 - One Payroll Human Resources Specialist to assist with the increase workload. HCMD is subject to relatively frequent audits, which requires manpower resources to research and provide data and documentation to auditors for evaluation, and respond to audit findings. Support is needed to meet deadlines and ensure that records are in compliance with OPM rules and regulations.
 - One Classification Human Resource Specialists. The number of employees in each jurisdiction has grown since budget request authorizations have been fully funded. As an agency, the AOC is experiencing an exponential growth with multi-million dollar capital construction projects which have created a massive demand for temporary staffing. The latter requires a dedicated focus to ensure positions, many of which are core mission, are analyzed, classified and filled in a timely manner to avoid staffing shortages that will adversely impact the execution and delivery of key services.
- The Curator division request funding for two FTEs:
 - One Registrar to support, build and maintain the museum system art collection data base that will consolidate all the Curator's collection information in one location.
 - One Program Analyst with collateral administrative duties to support the office's administrative operations functions and reporting. Currently there is no central administrative support, this position is viewed as integral to the success of the Curator's ability to meet its core mission to preserve heritage assets.
- The Performance, Strategy and Innovation division request funding for two FTEs:
 - One management and program analyst with knowledge and experience in process improvement methods and approaches to support efforts to reduce bureaucracy and streamline and improve operations. This position will provide the expertise needed to identify areas of improvement to efficiently and effectively meet the AOC mission and vision.
 - One Customer Experience Program Manager to implement the AOC Customer Experience program which will aim to facilitate cross-organizational alignment and collaboration to customer needs. This position will also work with stakeholders and partners across the AOC and AOC customer community to improve the delivery of customer service and overall customer experiences.
- *Planning and Project Management (PPM) (FTEs 4; \$669K):*
 Funding is requested for four FTEs to support jurisdictional (including the Supreme Court) capital minor construction requirements in addition to the line item construction program (LICP):
 - One interior design specialist to provide interior design services for all Senate offices, congressional leadership offices primarily on the House side of the Capitol, and committee hearing room renovations. Currently there is only one interior designer, and the timeframe from initial request and the first meeting of execution is four to six weeks. With the additional position, the timeline can be reduced two to three weeks.
 - One project executive to coordinate internal controls and oversee Government Accountability Office (GAO), the Office of Inspector General (OIG) and various other data risk assessment initiatives for PPM.
 - One construction execution branch manager is needed to address oversight, financial, and process requirements in the Construction division.



Capital Construction and Operations

OPERATING BUDGET REQUEST (continued)

- One Program Developer to address project development procedures and ongoing increase of line item construction program (LICP) backlog. A recent analysis of capital projects found there is a need for improvement to project scoping during the development phase. Additionally, the growing agency backlog of deferred maintenance and capital renewal work needs a dedicated individual to identify needs and provide a more consistent and accurate set of projects requirements.
- *Safety, Fire and Environmental Programs (SFEP)* (FTEs 5, \$795K):
Funding is requested for five fire and safety subject matter experts. Personnel are required to better support emergency response and fire safety inspection efforts outside of normal business hours. In addition, this increase will enable incident command support, incident investigations, oversight of fire and safety operations, review of corrective actions, on-site review of code and regulation compliance of operations and ongoing construction outside of normal business hours.
- *Office of the Diversity, Inclusion, and Dispute Resolution (DIDR)* (FTEs 2; \$351K):
Funding is requested for two FTEs to properly manage the DIDR exponential growth and expanded portfolio. Recently, DIDR has experienced a significant increase in workload, both in terms of management referrals and consultations and claims by employees.
 - One Deputy Director, Diversity, Inclusion and Dispute Resolution
 - One Management and Program Analyst (Organizational Development)
- *Office of the Inspector General (IG)* (FTEs 1; \$200K):
Funding is requested for one auditor and evaluation planner. This request ensures sufficient payroll funding for 15 FTEs. Funding is necessary to meet congressional intent to conduct more audit oversight of AOC construction. Additional audit staff is projected to be needed in the coming years as the planned audit plan concludes.

Non-Pay Program Increases (\$4,005K):

Enhanced Jurisdictional Support for Capital Projects (\$320K)

Safety, Fire and Environment Programs (SFEP): Funding is required to contract for technical support to review AOC project documents. Projects typically have five sets of documents for review by SFEP. The SFEP Division reviews and comments on all design and construction documents to ensure the projects adhere to local and national code compliance requirements (\$320K).

Jurisdiction Operational Support (\$3,673K):

- Information Technology Division (ITD) (\$2,942K):

- IT Business Modernization: Funds are required for contracts and IT services to support the continuous modernization of AOC business processes. New and updated commercial and government IT products are produced annually. These products modernize and automate inefficient processes and procedures. Over the past six years, the AOC has virtually eliminated IT modernization efforts in an effort to maintain only the most minimal IT daily operations. Labor intensive manual business processes continues to constrain innovation. The Computer-Aided Facility Management (CAFM) system is a core application designed to help save time by properly managing buildings, spaces, and occupants more efficiently and effectively. Congress uses CAFM to submit work requests which is being expanded to include more electrical infrastructure and emergency generator systems. AOC staff respond to these work orders and manage inventory based on actual license counts. Funding is required to implement the software in FY 2021 fully. Each year there is an anticipated five percent increase in the cost of licenses and volume of users. Investing in modernization projects such as automating operations and analytics-based decision making is needed to meet emerging needs and help AOC staff be more productive; resulting in better service to members, their staff and the public (\$1,879K).



Capital Construction and Operations

OPERATING BUDGET REQUEST (continued)

- Communications: Funding is required to provide cell service communications for AOC employees, most of which are mobile while working. Due to limited resources, the ITD has not been able to restore or replace existing broken mobile devices or provide lines of service to many employees. The vast majority of AOC employees work on the go. Mobile devices allow staff to call, email, work and receive work orders on the go. It is an essential service to efficiently perform work in varied locations and at all hours of the day (\$520K).
- IT Refresh: Funding is required to purchase corporate level IT equipment. Each year there are a subset of corporate level IT assets that must be purchased together and cannot be purchased piecemeal. Restarting the graduated life cycle replacement plan for these IT assets is vital to maintain continuous AOC IT operations. The majority of this equipment is past its life cycle replacement schedule. It costs more to maintain aged hardware and the equipment runs slower causing productivity reductions for end users. This request will restart the annual refresh cycle, in which purchasing of assets are staggered over the years to create a level budget and replacement cycle year over year (\$543K).
- *Planning and Project Management (PPM) (\$731K):*
 - Computer-Aided Facility Management (CAFM): is a core application designed to help save time by properly managing buildings, spaces, and occupants more efficiently and effectively. In addition to the anticipated five percent increase in the cost of licenses and volume of users, funding is required for two contractor support to manage the increased day to day reporting, database management, and troubleshooting. Increased mission requirements include the addition of the high voltage (generators and switchgears), underground storage tanks, and above ground storage tank data into database to ensure continuity of government operations (\$383K).
 - Geographic Information System (GIS): provides geographic locations of various assets across the Capitol complex, it is used to provide a visual display of current and future project schedules across campus to deconflict work spaces. Additional funding is requested to procure contract support to create and maintain a GIS roadmap. This roadmap is critical to establish a robust 21st century GIS program that effectively serve Congress and the Capitol Complex. Emerging GIS technologies will allow advanced visualization of concepts and complex issues with proper planning (\$219K).
 - Project Management Manual and Architect/Engineering (A/E) Manual Support: Funding is requested to contract support to assist in updating two AOC policies with newly developed project management processes and best practices. The update to both policies will be a large effort in time and documentation due in large part to the implementation of the Project Management Information System (PMIS) system for the management of the AOC's project portfolio. In addition, components of the A/E Manual will need to be revised and aligned with both PMIS and the Project Management Manual. Failing to update the policies will lead to delays for not having current reference documentation on hand (\$129K)



Capital Construction and Operations

MULTI-YEAR BUDGET REQUEST - PROGRAM SUMMARY

The Capital Construction and Operations Budget consists of major construction or system replacement requirements to address fire, life-safety and security issues; deferred maintenance; capital renewal; capital improvement; capital construction; and necessary studies and designs, with a focus on energy savings.

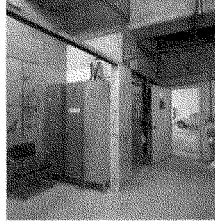
Multi-Year Budget by Project (\$000)	
	Request Amount
Line Item Construction Program Projects:	
Consolidated Operations Center Assessment Study.....	2,000
Campus-Wide Lighting Analysis.....	1,500
Resilient Charging Infrastructure Study, All Campus.....	1,300
Capitol South Arrival Area Study.....	1,100
Total	5,900



Capital Construction and Operations

Project Title: Consolidated Operations Storage Assessment Study

Request: \$2,000K



Project Description (Study): There are currently various disparate industrial spaces and laydown areas across the Capitol complex and at different off-site locations. One prominent example is the Construction Division laydown area at the Thomas Jefferson Building used for construction staging during projects across the campus. Consolidation of various Capitol Grounds, Construction Division, and Office of Security Programs storage spaces across campus will provide various operational and financial benefits, making more efficient use of a centralized, dedicated space, while also providing potential for the elimination of additional leased, off-site storage spaces. This project will assess existing industrial spaces across campus, present a business case for consolidation, and develop potential options for consolidation close to the Capitol complex.

Risk and Impact If Not Funded: If not funded, a lack of organization will persist across the campus affecting the vision of the Capitol Grounds complex.

- A poor visitor experience could persist due to visually unappealing industrial spaces across campus.
- Jurisdiction and Leadership complaints could continue if visible laydown and staging areas are not cleaned up and consolidated into a thoughtful, well-planned program.

Cost of Recurring Operations: No additional cost anticipated.

Citation Driven: No.

Client Request: No.

Risk Assessment: Not required.

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

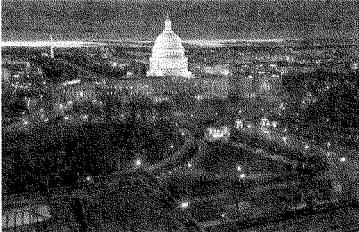
Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Total Projected Requirement
Study	-	-	-	2,000	-	2,000
Design	-	-	-	-	-	-
Construction	-	-	-	-	-	-
USCP Overtime	-	-	-	-	-	-
Total	-	-	-	2,000	-	2,000



Capital Construction and Operations

Project Title: Campus-Wide Lighting Analysis

Request: \$1,500K



Project Description (Study): Currently, there is no campus-wide lighting master plan addressing standards, existing and future requirements. Updates to lighting are completed on a project by project basis, and are rarely coordinated with campus-wide considerations. The Capitol Complex Master Plan recommends restoration of campus site lighting, including upgrades to energy efficient and historic fixtures per the Cultural Landscape Reports. This project will establish campus-wide exterior lighting goals and standards, baseline photometric lighting levels, and recommendations to improve lighting levels to maintain a safe and secure campus.

Risk and Impact If Not Funded: If not funded, unsafe and historically insensitive conditions could persist across the Capitol complex.

- Areas with low lighting levels could create unsafe conditions for visitors and employees across the Capitol complex.
- Improper lighting negatively impacts historic views.

Cost of Recurring Operations: No additional cost anticipated.

Citation Driven: No.

Client Request: No.

Risk Assessment: Not required.

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

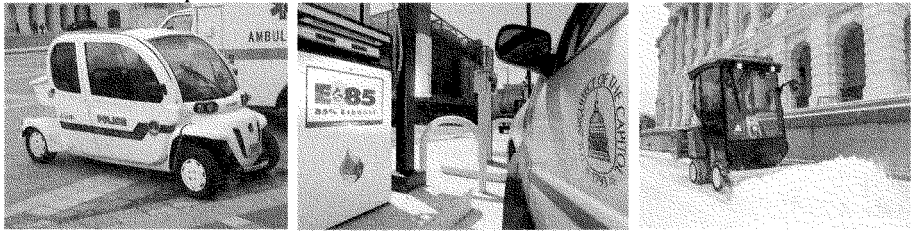
Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Total Projected Requirement
Study	-	-	-	1,500	-	1,500
Design	-	-	-	-	-	-
Construction	-	-	-	-	-	-
USCP Overtime	-	-	-	-	-	-
Total	-	-	-	1,500	-	1,500



Capital Construction and Operations

Project Title: Resilient Charging Infrastructure Study,
All Campus

Request: \$1,300K



Project Description (Study): The Architect of the Capitol considers eliminating fuel power sources an important step toward improved air quality and energy independence goals. To effectively achieve these goals, investments in associated charging infrastructure using both existing electrical utility and new solar-charged options is required, and currently there is no electrical charging infrastructure present across the Capitol complex. This project will study a comprehensive approach to implement charging infrastructure such as vehicle, hand-held equipment, battery and potentially solar power storage, on the Capitol campus and at nearby offsite facilities. The potential for increasing energy security and quality of life through electric charging stations provides an opportunity to enhance resilience and program goals across the campus.

Risk and Impact If Not Funded: If not funded, the Capitol complex will miss opportunities for enhanced energy security and resilience.

- Without this project, a lack of redundant options for charging security radios outside of kiosks will exist.
- Fuel stocks could pose potential security and environmental threats to the Capitol complex, as risk of explosion hazards and pollution greatly increases.
- Switching from fuel to electric power presents the opportunity for cost savings and reduced emissions.

Cost of Recurring Operations: No additional cost anticipated.

Citation Driven: No. **Client Request:** No. **Risk Assessment:** Not required.

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

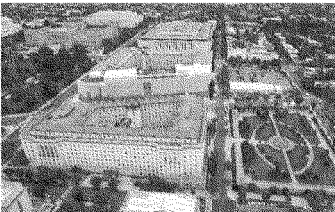
Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Total Projected Requirement
Study	-	-	-	1,300	-	1,300
Design	-	-	-	-	-	-
Construction	-	-	-	-	-	-
USCP Overtime	-	-	-	-	-	-
Total	-	-	-	1,300	-	1,300



Capital Construction and Operations

Project Title: Capitol South Arrival Area Study

Request: \$1,100K



Project Description (Study): A Congressional directive issued to the Architect of the Capitol called for the study, evaluation, and development of a design to transform First Street, SE at the Capitol South Metro station into a clearer, more welcoming and safe arrival area for visitors to the Capitol complex. This project will study and create requirements that incorporate wayfinding and amenities, improve safety and security, incorporate sustainability, and improve accessibility and walkability.

Risk and Impact If Not Funded: If not funded, unsafe conditions for Capitol complex visitors and employees could persist, ultimately failing to support and uphold Congress's mission.

- Failure to complete this will be a direct disregard of a Congressional order.
- An insufficient welcome area will cause implications on visitor safety, security, and wayfinding when arriving to the Capitol South Metro area.

Cost of Recurring Operations: No additional cost anticipated.

Citation Driven: No. **Client Request:** No. **Risk Assessment:** Included in request.

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Total Projected Requirement
Study	-	-	-	1,100	-	1,100
Design	-	-	-	-	-	-
Construction	-	-	-	-	-	-
USCP Overtime	-	-	-	-	-	-
Total	-	-	-	1,100	-	1,100



Capital Construction and Operations

Office of the Inspector General – Justification Summary

The OIG conducts independent audits and investigations and reviews and evaluations of AOC operations and programs, including major construction projects, to promote economy and efficiency and to detect and prevent fraud, waste and abuse. The IG, who reports directly to the Architect of the Capitol, serves pursuant to the AOC IG Act of 2007. The OIG reviews existing or proposed laws, regulations, orders and policies for their impact on economy and efficiency and recommends new policies, as appropriate. As an independent, objective office within the AOC, the OIG is responsible for promoting economy and efficiency and preventing and detecting fraud, waste and abuse in AOC operations.

Operating Budget (\$000)						
Program Groups	FY 2020 Enacted	Program Realignment/ Transfers & Non-Recurring	Price Increases	Program Increases	FY 2021 Request	FY 2020/2021 Difference
Inspector General	1,093	-	28	-	1,121	28
Payroll	2,717	-	110	200	3,027	310
Total	3,810	-	138	200	4,148	338

The FY 2021 Operating Budget Request shows an increase of **\$338K** from the FY 2020 Enacted level. It includes **\$138K** in price increases and **\$200K** in program increases.

Price Increases

The funding increase to the baseline includes inflationary costs for pay and non-pay programs based upon guidance from the Congressional Budget Office.

Program Increases

Payroll (1 FTE; \$200K)

Funding is requested for one auditor and evaluation planner. This request ensures sufficient payroll funding for 15 FTEs. Funding is necessary to meet congressional intent to conduct more audit oversight of AOC construction. Additional audit staff is projected to be needed in the coming years as the planned audit plan concludes.



Capital Construction and Operations

Information Technology Division – Justification Summary

The **Information Technology Division (ITD)** is responsible for the procurement and operations of information technology for services, hardware and software. It provides contractor technical support services for the network, systems, cyber security, AOC Help Desk operations, project management and AOC hardware, software, communication equipment and services. Additionally, ITD is responsible for information technology projects, including the human capital management system. Responsibilities include:

- Cyber security includes initiatives directed by the legislative branch cyber security working group and Congress, including legislative branch standardized services to monitor and thwart daily cyberattacks, implement new defenses against emerging threats and provide training to staff. The ITD requests funds for dedicated personnel to address vulnerabilities and to respond to the increased compliance and oversight requests. The AOC Inspector General and agency enterprise risk analysis both identified cybersecurity as the greatest risk to the agency. The goal is to decrease the time to remediate vulnerabilities on AOC systems to improve resistance to exploitation by attackers.
- Contractual operations support such as Help Desk operations, certification and accreditations, information security, application development, network management support operations and systems administration. This includes information technology services such as monitoring and thwarting daily cyberattacks while implementing new defenses, the flag office application, congressional moves application and Senate suite tool, wide and local area network monitoring operations and providing continuous information security monitoring and assessments.
- Agency wide systems development including the project management information system and human capital management systems are managed within ITD. Also included are information technology hardware and software acquisitions. The request provides telecommunications services including circuits for connectivity between the buildings, desk phones, mobile devices and voice/data services to connect AOC staff and support emergency response coordination.
- Computer-Aided Facility Management system support used for relational databases and electronic representations of facilities to manage, analyze and control facility data.

Operating Budget (\$000)						
Program Groups	FY 2020 Enacted	Program Realignment/ Transfers & Non- Recurring	Price Increases	Program Increases	FY 2021 Request	FY 2020/2021 Difference
Information Resource Management	25,526	-	726	2,942	29,194	3,668
Payroll	5,232	-	199	-	5,431	199
Total	30,758	-	925	2,942	34,625	3,867

The FY 2021 Budget Request shows an increase of **\$3,867K** from the FY 2020 enacted amount. It includes **\$925K** in price increases and **\$2,942K** in program increases (see pages 10-11).

Capitol Building



AOC MISSION

To **serve** Congress and the Supreme Court, **preserve** America's Capitol, and **inspire** memorable experiences.

RESPONSIBILITIES IN SUPPORT OF AOC MISSION

The Capitol Building (CB) jurisdiction is responsible for the maintenance, repair, operations, mechanical and electrical infrastructure, heating, ventilation and air conditioning, plumbing, painting, cleaning and any construction concerning the U.S. Capitol and the Capitol Visitor Center (CVC).

The CB jurisdiction:

- Cares for and preserves the structural and architectural elements of the Capitol Building and CVC.
- Consistently strives to serve clients, Congress, staff and the general public by managing facilities and operations in the most efficient fashion with the provided resources.
- Implements energy efficiency strategies, facility management best practices and internal controls to ensure effective operations.

For a complete list of CB facilities, please refer to the "Areas of Responsibility Summary" tables in this Budget Request.

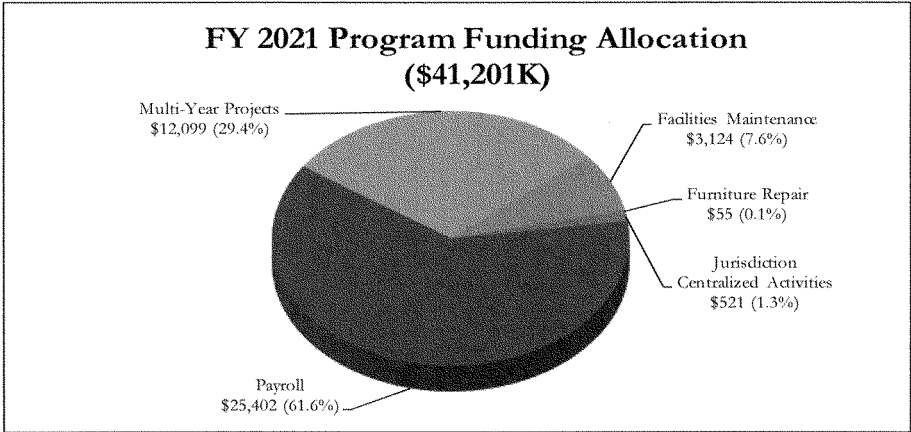


Capitol Building

PROGRAM SUMMARY:

The **Operating Budget** request funds all costs associated with the daily care, maintenance and operation of the CB and the CVC. The budget is divided into functional area Program Groups: Facilities Maintenance, Furniture Repair, Jurisdiction Centralized Activities and Payroll.

The **Multi-Year Projects Budget** request consists of major construction or system replacement requirements to address fire, life-safety and security issues; deferred maintenance; capital renewal; capital improvement; capital construction; and necessary studies and designs, with a focus on energy savings. It also may include funds that provide jurisdictions with the flexibility to respond to unforeseen minor construction requirements as generated from emergencies, the Members, Committees and other AOC clients.





Capitol Building

AREAS OF RESPONSIBILITY SUMMARY:

ASSIGNED FACILITIES

Facility Name/Type	Location	Year Built or Acquired	Area (square feet)	Deferred Maintenance (\$000)	Capital Renewal (\$000)	Backlog (\$000)
Capitol Building	Washington, DC	1793	939,341	\$90,395	\$60,747	\$151,142
Capitol Visitor Center	Washington, DC	2008	676,844	-	-	-
Pedestrian & Transport Tunnels*	Washington, DC	Varies	45,749	-	-	-
			1,661,934	\$90,395	\$60,747	\$151,142

Notes:
Deferred Maintenance: is defined as maintenance, repair or replacement work on existing facilities and infrastructure that is past due causing failure or partial failure.
Capital Renewal: is defined as replacement in kind to correct unacceptable conditions caused by aged building components prior to failure.
Backlog: equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance within a five year window.
***Pedestrian & Transport Tunnels:** a baseline assessment is currently underway.



Capitol Building

TOTAL BUDGET REQUEST – FUNDING SUMMARY

Total Budget (\$000)				
Appropriation	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
Operating Budget	26,648	27,979	29,102	1,123
Multi-Year Projects	17,344	40,899	12,099	(28,800)
Total	43,992	68,878	41,201	(27,677)

Operating Budget (\$000)				
Program Groups	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
Facilities Maintenance	2,975	3,047	3,124	77
Furniture Repair	51	53	55	2
Jurisdiction Centralized Activities	496	508	521	13
Payroll	23,126	24,371	25,402	1,031
Total	26,648	27,979	29,102	1,123

Total Budget by Object Class (\$000)				
Object Class Groups	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
11 Personnel Compensation	16,627	17,522	18,263	741
12 Personnel Benefits	6,499	6,849	7,139	290
21 Travel	18	20	21	1
22 Transportation of Things	-	-	-	-
23 Rent, Communications & Utilities	-	-	-	-
24 Printing and Reproduction	-	-	-	-
25 Other Contractual Services	4,858	10,360	5,152	(5,209)
26 Supplies and Materials	3,216	6,860	4,435	(2,425)
31 Equipment	-	-	-	-
32 Land and Structures	12,774	27,267	6,191	(21,075)
42 Insurance Claims & Indemnities	-	-	-	-
Total	43,992	68,878	41,201	(27,677)

Capitol Building



TOTAL BUDGET REQUEST - ANALYSIS OF CHANGE

	FY 2021 Appropriation	
	FTE	Amount (\$000)
FY 2020 Enacted		
Payroll Funded FTEs	221	68,878
Non-Recurring Costs:		
Multi-Year Projects (FY 2020 Enacted).....		(34,800)
Minor Construction (FY 2020 Enacted).....		(5,500)
Conservation of Fine and Architectural Art (FY 2020 Enacted).....		(599)
Total Program Decreases	-	(40,899)
Price Changes:		
Payroll Related:		
FY 2021 FERS Employer Contribution Rate Increase.....		264
FY 2021 Cost-of-Living Adjustment of 3.0%*.....		531
FY 2021 FEHB Employer Contribution of 3.2%.....		62
FY 2021 Within Grade Increase.....		174
Total Payroll Related Costs	-	1,031
Non-Payroll Related:		
FY 2021 Non-Pay Inflation Increase of 2.5%.....		92
Total Non-Payroll Related Costs	-	92
Total Current Services	-	29,102
Program Increases:		
Multi-Year Projects:		
Sprinkler System Installation, USC.....		6,000
Conservation of Fine and Architectural Art.....		599
Minor Construction.....		5,500
Total Program Increases	-	12,099
Net Increase/Decrease	-	(27,677)
FY 2021 Total Appropriation	221	41,201

* Incorporated in the FY 2021 Cost-of-Living Adjustment is a 2.5% pay raise (\$443K) and a locality pay area adjustment of .5% (\$88K)



Capitol Building

OPERATING BUDGET REQUEST - SUMMARY OF CHANGES

The Operating Budget of the CB appropriation funds all costs associated with the daily care, maintenance and operation of the U.S. Capitol and the CVC. The budget is divided into functional area Program Groups. In accordance with sound financial management practice, these Program Groups are reviewed and adjusted to reflect changing program and pricing needs. Increases that cannot be absorbed are requested through the budget process.

Operating Budget (\$000)						
Program Groups	FY 2020 Enacted	Program Realignment/ Transfers & Non-Recurring	Price Increases	Program Increases	FY 2021 Request	FY 2020/2021 Difference
Facilities Maintenance	3,047	-	77	-	3,124	77
Furniture Repair	53	-	2	-	55	2
Jurisdiction Centralized Activities	508	-	13	-	521	13
Payroll	24,371	-	1,031	-	25,402	1,031
Total	27,979	-	1,123	-	29,102	1,123

Program Changes Justification

The Fiscal Year (FY) 2021 Operating Budget Request shows an increase of **\$1,123K** from the FY 2020 Enacted level.

Price Increases

The funding increase to the baseline includes inflationary costs for pay and non-pay programs based upon guidance from the Congressional Budget Office.



Capitol Building

MULTI-YEAR BUDGET REQUEST – PROGRAM SUMMARY

The Capital Budget consists of major construction or systems replacement requirements to address fire, life safety and security issues; deferred maintenance; capital renewal; capital improvement; construction; and necessary studies and designs. It also includes Minor Construction funds that provide the U.S. Capitol Building with the flexibility to respond to unforeseen minor construction requirements as generated from emergencies, the Members, Committees and other AOC clients.

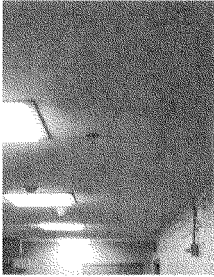
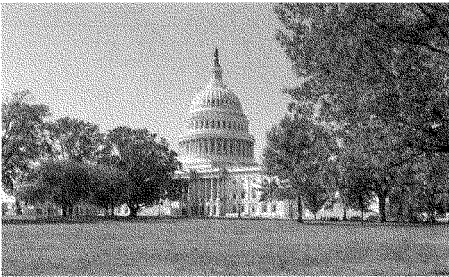
Multi-Year Budget by Project (\$000)	
Line Item Construction Program Projects:	Request Amount
Sprinkler System Installation, USC.....	6,000
Total	6,000
Other Projects:	
Minor Construction.....	5,500
Conservation of Fine and Architectural Art.....	599
Total	6,099
Total Project Request	12,099



Capitol Building

Project Title: Sprinkler System Installation, USC

Request: \$6,000K



Project Description (Design): The U.S. Capitol Building has partial sprinkler protection installed throughout. Currently, sprinklers are primarily located at the basement and fourth floor levels, with limited sprinklers throughout the first, second, and third floors. The 2013 U.S. Capitol Infrastructure Modernization Master Plan Update identified fire and life safety deficiencies and recommended the installation of an automatic sprinkler system to bring the Capitol into code compliance. This project will provide a sprinkler design to be incorporated with sensitivity to the historic art and architecture throughout the building. Future funding will be required for construction.

Risk and Impact If Not Funded: If not funded, the U.S. Capitol remains noncompliant, placing the building and its occupants at risk for catastrophic damage in the event of a fire.

- Lack of a code compliant sprinkler system greatly increases the risk of flame spread in the event of a fire.
- A sprinkler system will allow for increased egress travel distances during a fire.
- The U.S. Capitol, a Heritage Asset, is at risk of being severely damaged beyond repair in the event of a fire.

Cost of Recurring Operations: No additional costs anticipated.

Citation Driven: No

Client Request: No.

Risk Assessment: Included in request.

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Projected Requirement
Study	-	-	-	-	-	-
Design	1,800	-	-	6,000	-	7,800
Construction	-	-	-	-	-	-
USCP Overtime	-	-	-	-	-	-
Total	1,800	-	-	6,000	-	7,800

Capitol Grounds



AOC MISSION

To **serve** Congress and the Supreme Court, **preserve** America's Capitol, and **inspire** memorable experiences.

RESPONSIBILITIES IN SUPPORT OF AOC MISSION

The U.S. Capitol Grounds and Arboretum (CGA) is responsible for both the day-to-day maintenance of the U.S. Capitol Grounds and preservation of a significant historic landscape and accredited arboretum designed by Frederick Law Olmsted. The CGA is responsible for approximately 286 of the total 570 AOC acres. This comprises the U.S. Capitol grounds including the U.S. Capitol, Senate and House Office Buildings, the Capitol Power Plant and Union Square. This area includes lawns; parks; historical, memorial and commemorative trees; horticultural display beds; supporting decorative features such as statuary; and historical fountains and water features providing a safe and awe-inspiring setting for the U.S. Capitol.

The Capitol Grounds and Arboretum:

- Maintains the physical elements such as sidewalks, streets, parking lots, irrigation and drainage systems, as well as campus-wide trash removal and outdoor recycling and snow removal.
- Preserves and maintains historic decorative features such as fountains, boundary walls and stone carvings.
- Supports major events such as the annual U.S. Capitol Christmas Tree Lighting Ceremony, State of the Union, Presidential Inauguration and summer concerts.
- Grows and cares for an accredited arboreta collection of over 4,500 individual trees, 11 acres of horticultural planting beds and 75 acres of intensely utilized turf grass.
- Creates memorable experiences through educating visitors about the historic and awe-inspiring landscape of the U.S. Capitol.

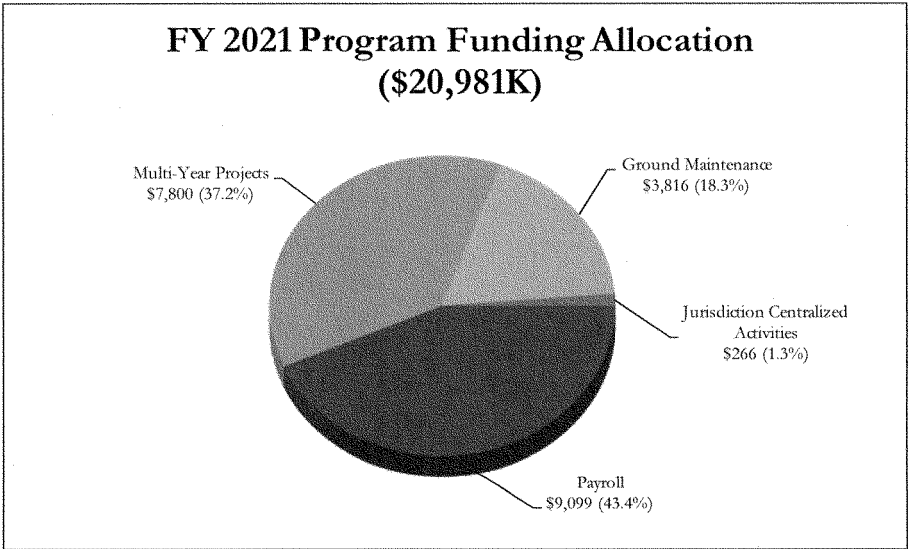


Capitol Grounds

PROGRAM SUMMARY

The **Operating Budget** request funds all costs associated with the daily care, maintenance, preservation and operation of the U.S. Capitol Grounds and Arboretum and related facilities in direct support of the safety and mission of Congress. The budget is divided into functional area Program Groups: Grounds Maintenance, Jurisdiction Centralized Activities and Payroll.

The **Multi-Year Projects Budget** request consists of major construction or system replacement requirements to address fire, life-safety, and security issues, deferred maintenance, capital renewal, capital improvement, capital construction and necessary studies and designs with a focus on energy savings. It also includes Minor Construction funds that provide jurisdictions with the flexibility to respond to unforeseen requirements as generated from emergencies, the Members, Committees and other AOC clients.





Capitol Grounds

AREAS OF RESPONSIBILITY SUMMARY:

ASSIGNED FACILITIES

Facility Name/Type	Location	Year Built or Acquired	Area (square feet)	Deferred Maintenance (\$000)	Capital Renewal (\$000)	Backlog (\$000)
Summer House	Washington, DC	1880	816	\$536	\$256	\$792
Capitol Square	Washington, DC	1894	2,722,500	\$12,221	\$3,402	\$15,623
Union Square	Washington DC	2011	574,992	\$14,112	\$1,526	\$15,638
Remaining Squares*	Washington, DC	Varies	7,265,808	\$5,373	\$8,666	\$14,039
			10,564,116	\$32,242	\$13,850	\$46,092

Notes:

Deferred Maintenance: is defined as maintenance, repair or replacement work on existing facilities and infrastructure that is past due causing failure or partial failure.

Capital Renewal: is defined as replacement in kind to correct unacceptable conditions caused by aged building components prior to failure.

Backlog: equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance within a five year window.

***Remaining Squares:** a baseline assessment of the House and Senate squares is currently underway.

Capitol Grounds



TOTAL BUDGET REQUEST – FUNDING SUMMARY

Total Budget (\$000)				
Appropriation	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
Operating Budget	11,242	12,024	13,181	1,157
Multi-Year Projects	5,519	3,000	7,800	4,800
Total	16,761	15,024	20,981	5,957

Operating Budget (\$000)				
Program Groups	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
Grounds Maintenance	3,104	3,527	3,816	289
Jurisdiction Centralized Activities	299	259	266	7
Payroll	7,839	8,238	9,099	861
Total	11,242	12,024	13,181	1,157

Total Budget by Object Class (\$000)				
Object Class Groups	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
11 Personnel Compensation	5,355	5,627	6,215	588
12 Personnel Benefits	2,484	2,611	2,884	273
21 Travel	9	15	17	2
22 Transportation of Things	-	-	-	-
23 Rent, Communications & Utilities	-	-	-	-
24 Printing and Reproduction	-	-	-	-
25 Other Contractual Services	6,070	3,747	8,667	4,920
26 Supplies and Materials	1,885	2,274	2,361	87
31 Equipment	827	720	805	85
32 Land and Structures	128	27	30	3
42 Insurance Claims & Indemnities	3	3	3	-
Total	16,761	15,024	20,981	5,957

Capitol Grounds



TOTAL BUDGET REQUEST-ANALYSIS OF CHANGE

	FY 2021 Appropriation	
	FTE	Amount (\$000)
FY 2020 Enacted		15,024
Payroll Funded FTEs	76	
Non-Recurring Costs:		
Minor Construction (FY 2020 Enacted).....		(3,000)
Total Program Decreases	-	(3,000)
Price Changes:		
Payroll Related:		
FY 2021 FERS Employer Contribution Rate Increase.....		88
FY 2021 Cost-of-Living Adjustment of 3.0%*.....		180
FY 2021 FEHB Employer Contribution of 3.2%.....		19
FY 2021 Within Grade Increase.....		59
Total Payroll Related Costs	-	346
Non-Payroll Related:		
FY 2021 Non-pay Inflation Increase of 2.5%.....		96
Total Non-Payroll Related Costs	-	96
Total Current Services	-	12,466
Program Increases:		
Annual Program Increases:		
Gardeners FTE Increase.....	6	515
Historical Landscape Preservation.....		200
Total Annual Program Increases	6	715
Multi-Year Projects:		
AOC Campus Wide Utility Survey.....		4,800
Minor Construction.....		3,000
Total Program Increases	6	8,515
Net Increase/Decrease	6	5,957
FY 2021 Total Appropriation	82	20,981

* Incorporated in the FY 2021 Cost-of-Living Adjustment is a 2.5% pay raise (\$150K) and a locality pay area adjustment of .5% (\$30K)

Capitol Grounds



OPERATING BUDGET REQUEST - SUMMARY OF CHANGES

The Operating Budget component of the Capitol Grounds and Arboretum appropriation funds all costs associated with the daily care, maintenance and operation of the U.S. Capitol Grounds and related facilities. The budget is divided into three functional area Program Groups. In accordance with sound financial management practices, these Program Groups are reviewed and adjusted to reflect changing program and pricing needs. Increases that cannot be absorbed are requested through the budget process.

Operating Program (\$000)						
Program Groups	FY 2020 Enacted	Program Realignment/ Transfers & Non-Recurring	Price Increases	Program Increases	FY 2021 Request	FY 2020/2021 Difference
Ground Maintenance	3,527	-	89	200	3,816	289
Jurisdiction Centralized Activities	259	-	7	-	266	7
Payroll	8,238	-	346	515	9,099	861
Total	12,024	-	442	715	13,181	1,157

Program Changes Justification

The Fiscal Year (FY) 2021 Operating Budget Request shows an increase of **\$1,157K** from the FY 2020 Enacted level. It includes **\$442K** in price increases and **\$715K** in program increases.

Price Increases

The funding increase to the baseline includes inflationary costs for pay and non-pay programs based upon guidance from the Congressional Budget Office.

Program Increases

Grounds Maintenance (\$200K)

Landscape and Outdoor Sculpture Maintenance (\$200K)

Additional funding is required to continue with the Capitol Grounds mission, to care for and preserve the landscape of the Capitol Hill Campus and educate and inspire visitors from around the world about the historic landscape that supports and enhances the U.S. Capitol. The funds will be utilized for turf grass management programs throughout the campus. In addition, recently completed inventory and condition assessment of architectural metals has identified 1,700 historic metal objects in need of conservation and maintenance. Funds are needed to address repair and conservation of these assets.

Payroll (\$515K)

The funding increase to the baseline is for six additional Full-Time Equivalents (FTE). Additional funds are required for six Gardeners to bring the CGA Gardens and Grounds Division alignment with national standards of the Association of Physical Plant Administrators (APPA) level 3 of (Moderate) acres/FTE. This increase will help efforts to improve and maintain the beauty of the Capitol Grounds.



Capitol Grounds

MULTI-YEAR BUDGET REQUEST - PROGRAM SUMMARY

The Capital Budget consists of major construction or system replacement requirements to address fire, life safety and security issues; deferred maintenance; capital renewal; capital improvement; capital construction; and necessary studies and designs with a focus on energy savings. It also includes Minor Construction funds that provide jurisdictions with the flexibility to respond to unforeseen requirements as generated from emergencies, the Members, Committees and other AOC clients.

Multi-Year Budget by Project (\$000)	
	Request Amount
Line Item Construction Program Projects:	
AOC Campus Wide Utility Survey.....	4,800
Total	4,800
Other Projects:	
Minor Construction.....	3,000
Total Project Request	7,800



Capitol Grounds

Project Title: Campus Wide Utility Survey

Request: \$4,800K



Project Description (Study): The Architect of the Capitol is responsible for issuing Work Authorization Permits for construction projects, including excavation work. Given the various construction projects undertaken across the Capitol complex, it is important to understand and document underground systems and utilities. The existing conditions survey was completed in 2002, is out of date, and does not fully identify the location and depth of all utilities within the Capitol complex. This survey is foundational to establishing a formal permitting process and documenting unseen underground utilities for future construction projects.

Risk and Impact If Not Funded: If not funded, safety risks and project disruptions will persist due to unknown utility locations.

- Workers are at high risk should an unforeseen gas or electrical piping incident occur.
- If undocumented utilities are found during construction, change orders, increased costs, and delayed completion will occur.
- AOC will not meet the requirements identified in AOC policies.

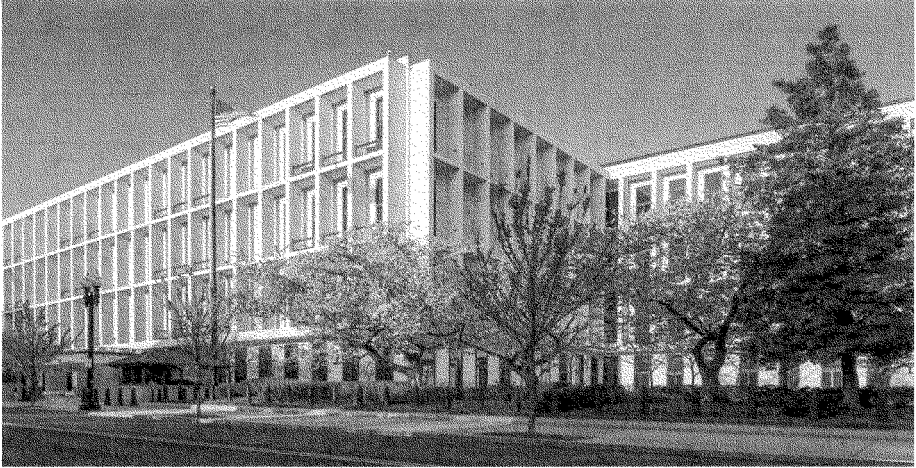
Cost of Recurring Operations: No additional cost anticipated.

Citation Driven: No. **Client Request:** No. **Risk Assessment:** Not required.

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Projected Requirement
Study	-	-	-	4,800	-	4,800
Design	-	-	-	-	-	-
Construction	-	-	-	-	-	-
USCP Overtime	-	-	-	-	-	-
Total	-	-	-	4,800	-	4,800

Senate Office Buildings



AOC MISSION

To **serve** Congress and the Supreme Court, **preserve** America's Capitol, and **inspire** memorable experiences.

RESPONSIBILITIES IN SUPPORT OF THE AOC MISSION

The Senate Office Buildings (SOB) jurisdiction is responsible for the daily care, maintenance, repair and operations of the Russell, Dirksen and Hart Senate Office Buildings; the Senate Employees Child Care Center; the Daniel Webster Page Residence; the Robert A. Taft Memorial; 107 D Street Building; the Blue Plains Warehouse; the Senate Long-Term Mail Facility; and the Senate Underground Garage.

The SOB jurisdiction:

- Manages building infrastructure, including electrical, plumbing, heating, ventilation and air conditioning, fire alarm, subway and elevator systems.
- Performs daily operations, including cleaning, recycling, loading dock operations, Committee hearing room preparations, event coordination and floor care.
- Provides important client services, such as wood crafting, upholstery, painting, garage operations and furniture.
- Manages lease operations and maintenance contracts for the Secretary of the Senate and the Senate Sergeant at Arms at the Postal Square Building; the Government Printing Office; and various locations in Landover, Maryland.
- Oversees Senate Restaurant operations.

For a complete list of SOB facilities, please refer to the "Areas of Responsibility Summary" tables in this Budget Request.

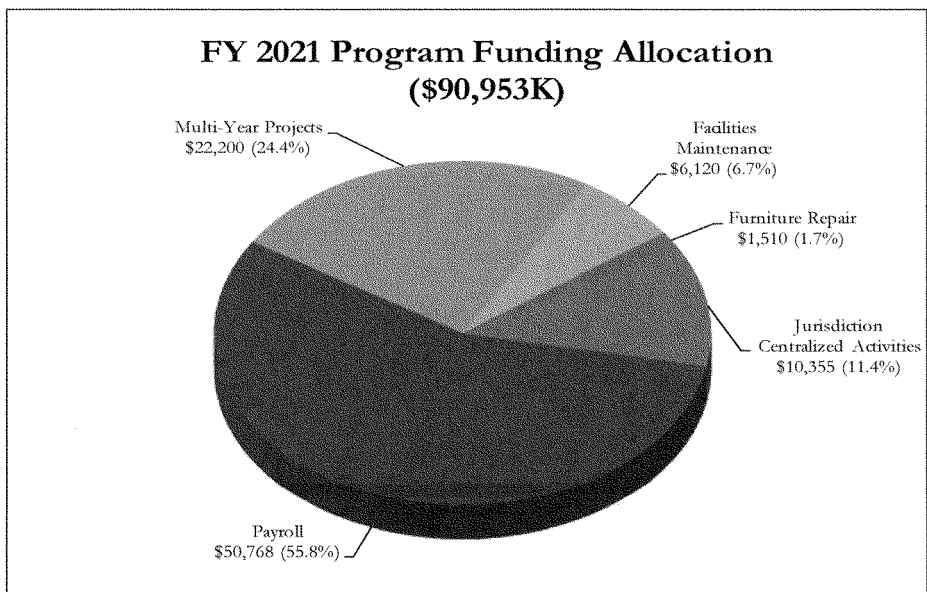
Senate Office Buildings



PROGRAM SUMMARY

The **Operating Budget** request funds all costs associated with the daily care, maintenance and operation of the jurisdiction's facilities which support congressional operations. The SOB operating budget is divided into four functional Program Groups: Facilities Maintenance, Furniture Repair, Jurisdiction Centralized Activities and Payroll.

The **Multi-Year Projects Budget** request consists of major construction or system replacement projects to address fire, life-safety and security issues; deferred maintenance; capital renewal; capital improvement; capital construction; and necessary studies and designs, with a focus on energy savings. It also includes Minor Construction funds that provide jurisdictions with the flexibility to respond to unforeseen requirements arising from emergencies, Members, Committees and other AOC clients.





Senate Office Buildings

AREAS OF RESPONSIBILITY SUMMARY:

ASSIGNED FACILITIES

Facility Name/Type	Location	Year Built or Acquired	Area (square feet)	Deferred Maintenance (\$000)	Capital Renewal (\$000)	Backlog (\$000)
107 D Street Northeast	Washington, DC	1885	7,764	\$1,622	\$235	\$1,857
Russell Senate Office Building	Washington, DC	1909	698,921	\$14,635	\$10,678	\$25,313
Daniel Webster Page Residence	Washington, DC	1930	20,870	\$260	-	\$260
Senate Underground Garage	Washington, DC	1932	85,284	-	\$495	\$495
Dirksen Senate Office Building	Washington, DC	1958	752,963	\$18,641	\$14,985	\$33,626
Robert A. Taft Memorial	Washington, DC	1959	1,700	-	\$7,708	\$7,708
Hart Senate Office Building	Washington, DC	1982	1,271,030	\$29,703	\$42,424	\$72,127
Senate Storage Building	Washington, DC	1993	20,921	-	\$435	\$435
Senate Child Care Center	Washington, DC	1998	9,978	\$9	\$286	\$295
Senate Mail Handling Facility	Landover, MD	2008	52,500	\$535	\$1,662	\$2,197
Pedestrian & Transport Tunnels*	Washington, DC	Varies	80,792	-	-	-
			3,002,723	\$65,405	\$78,908	\$144,313

Notes:

Deferred Maintenance: is defined as maintenance, repair or replacement work on existing facilities and infrastructure that is past due, causing failure or partial failure.

Capital Renewal: is defined as replacement in kind to correct unacceptable conditions caused by aged building components prior to failure.

Backlog: equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance within a five-year window.

***Pedestrian & Transport Tunnels:** a baseline assessment is currently underway.

LEASED FACILITIES

Lease Type	Location	Area (square feet)	Leased from	Contract Award Date	Contract End Date	FY 2019 Enacted (\$000)	FY 2020 Enacted (\$000)	FY 2021 Request (\$000)
SSAA/SecSen Warehouse Facility ¹	Landover, MD	100,000	Private Sector	Oct 2005	Sep 2025	\$1,152	\$1,152	\$1,177
SSAA Printing, Graphics & Direct Mail Facility ¹	Landover, MD	90,000	Private Sector	Mar 2011	Mar 2021	\$1,248	\$1,248	\$1,264
SSAA Office Support (Postal Square) ¹	Washington, DC	120,911	GSA	May 1992	May 2022	\$6,256	\$6,256	\$6,316
GPO - SSAA Admin.	Washington, DC	5,450	GPO	Oct 2010	Annual	\$227	\$227	\$234
GPO - SSAA Cabinet	Washington, DC	13,752	GPO	Oct 2012	Annual	\$222	\$222	\$226
GPO - Senate Furniture/Refinishing	Washington, DC	44,700	GPO	Oct 2007	Annual	\$427	\$427	\$440
Total						\$9,532	\$9,532	\$9,657

¹Total cost includes all operations and maintenance charges.

Senate Office Buildings



TOTAL BUDGET REQUEST - FUNDING SUMMARY

Total Budget (\$000)				
Appropriation	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
Operating Budget	62,400	65,324	68,753	3,429
Multi-Year Projects	31,162	23,100	22,200	(900)
Total	93,562	88,424	90,953	2,529

Operating Budget (\$000)				
Program Groups	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
Facilities Maintenance	5,710	5,849	6,120	271
Furniture Repair	952	975	1,510	535
Jurisdiction Centralized Activities	9,958	10,209	10,355	146
Payroll	45,780	48,291	50,768	2,477
Total	62,400	65,324	68,753	3,429

Total Budget by Object Class (\$000)				
Object Class Groups	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
11 Personnel Compensation	32,971	34,779	36,563	1,784
12 Personnel Benefits	12,809	13,512	14,205	693
21 Travel	12	12	13	1
22 Transportation of Things	-	-	-	-
23 Rent, Communications & Utilities	9,328	9,532	9,657	124
24 Printing and Reproduction	-	-	-	-
25 Other Contractual Services	12,216	10,266	10,210	(56)
26 Supplies and Materials	3,542	4,775	4,779	3
31 Equipment	1,449	1,217	1,218	1
32 Land and Structures	21,233	14,330	14,308	(22)
42 Insurance Claims & Indemnities	1	-	-	-
43 Interest and Dividends	1	-	-	-
Total	93,562	88,424	90,953	2,529

Senate Office Buildings



TOTAL BUDGET REQUEST - ANALYSIS OF CHANGE

	FY 2021 Appropriation	
	FTE	Amount (\$000)
FY 2020 Enacted		88,424
Payroll Funded FTEs	480	
Non-Recurring Costs:		
Multi-Year Projects (FY2020 Enacted).....		(17,100)
Minor Construction (FY2020 Enacted).....		(6,000)
Total Program Decreases	-	(23,100)
Price Changes:		
Payroll Related:		
FY 2021 FERS Employer Contribution Rate Increase.....		527
FY 2021 Cost-of-Living Adjustment of 3.0%*.....		1,055
FY 2021 FEHB Employer Contribution of 3.2%.....		123
FY 2021 Within Grade Increase.....		344
Total Payroll Related Costs	-	2,049
Non-Payroll Related:		
FY 2021 Non-pay Inflation Increase of 2.5%.....		252
Lease Escalation Costs.....		125
Total Non-Payroll Related Costs	-	377
Total Current Services	-	67,750
Program Increases:		
Annual Program Increases:		
Special Functions Program.....	6	428
Election Year Furniture Repairs.....		510
Election Year Carpet Replacement.....		65
Total Annual Program Increases	6	1,003
Multi-Year Projects:		
Fire Alarm System Replacement, HSOB.....		13,100
Building Infrastructure Upgrades, RSOB.....		3,100
Minor Construction.....		6,000
Total Program Increases	6	23,203
Net Increase/Decrease	6	2,529
FY 2021 Total Appropriation	486	90,953

* Incorporated in the FY 2021 Cost-of-Living Adjustment is a 2.5% pay raise (\$879K) and a locality pay area adjustment of .5% (\$176K)



Senate Office Buildings

OPERATING BUDGET REQUEST - SUMMARY OF CHANGES

The Operating Budget component of the SOB appropriation funds all costs associated with SOB central office salaries, operations, activities and programs. The budget is divided into four functional area Program Groups. In accordance with sound financial management practices, these Program Groups are reviewed and adjusted to reflect changing program and pricing needs. Increases that cannot be absorbed are requested through the budget process.

Operating Budget (\$000)						
Program Groups	FY 2020 Enacted	Program Realignment/ Transfers & Non-Recurring	Price Increases	Program Increases	FY 2021 Request	FY 2020/2021 Difference
Facilities Maintenance	5,849	-	206	65	6,120	271
Furniture Repair	975	-	25	510	1,510	535
Jurisdiction Centralized Activities	10,209	-	146	-	10,355	146
Payroll	48,291	-	2,049	428	50,768	2,477
Total	65,324	-	2,426	1,003	68,753	3,429

Program Changes Justification

The Fiscal Year (FY) 2021 Operating Budget Request shows an increase of **\$3,429K** from the FY 2020 Enacted level. It includes **\$2,426K** in price increases and **\$1,003K** in program increases.

Price Increases

The funding increase to the baseline includes inflationary costs for pay and non-pay programs based upon guidance from the Congressional Budget Office and lease escalation costs.

Program Increases

Payroll (\$428K)

The funding increase to the baseline is for six Full-Time Equivalents (FTEs) for the Special Functions team, the group responsible for planning and coordinating the increasing demand for special events in the Senate Office Buildings. In 2018, the team successfully executed nearly 4,200 Senate events, approximately 1,000 more than they coordinated five years before. In addition to managing the increasing event workload, additional material handlers are needed to move furniture to and from designated storage areas in the Senate buildings, to avoid storing furniture in the hallways. Additional full-time staff will ensure that the Special Functions team continues to provide excellence in event coordination, as well as extraordinary service to the Senate community.

Furniture Repair (\$510K)

Funding increase will cover inflationary furniture costs increases, as well as to provide for the growing client demands for new furnishings. Every odd year is an election year in which senators and committees have the opportunity to move their office.

Floor Coverings (\$65K)

The Senate Superintendent's office provides and maintains carpet for the Senate Office Buildings. Carpet is eligible for replacement when it is worn beyond repair or over 10 years old. Every odd year is an election year in which senators and committees have the opportunity to move their office. This is the most active time for our replacement of carpet, and the quantity of carpet required is dependent upon the number of office moves.



Senate Office Buildings

MULTI-YEAR BUDGET REQUEST - PROGRAM SUMMARY

The Capital Budget consists of major construction or system replacement requirements to address fire, life-safety and security issues; deferred maintenance; capital renewal; capital improvement; capital construction; and necessary studies and designs, with a focus on energy savings. It also includes Minor Construction funds that provide jurisdictions with the flexibility to respond to unforeseen requirements arising from emergencies, to support work related to Office of Compliance (now OCWR) issued Citation 19 for the open/unenclosed stairs in the RSOB, and additional fire protection and life-safety deficiencies. Members, Committees and other AOC clients.

Multi-Year Budget by Project (\$000)	
	Request Amount
Line Item Construction Program Projects:	
Fire Alarm System Replacement, HSOB.....	13,100
Building Infrastructure Upgrades, RSOB.....	3,100
Total	16,200
Other Projects:	
Minor Construction.....	6,000
Total	6,000
Total Project Request	22,200

Senate Office Buildings



Project Title: Fire Alarm System Replacement, HSOB

Request: \$13,100K



Project Description (Construction): The fire alarm system replacement in the Hart Senate Office Building is a project designed for the removal and replacement of all existing notification appliances, wiring, and the installation of new strobes and speakers that will provide a complete and fully integrated system. The new system will provide zoned evacuation sequence capability and incorporate notification appliance circuit survivability as required for the voice alarm system. The new notification appliances will meet intelligibility and synchronization requirements of National Fire Protection Association (NFPA) 72, and visible notification requirements for NFPA and ADA. This project will complete the replacement of the existing fire alarm detection and notification system with a modern, code-compliant fire alarm system.

Risk and Impact If Not Funded: If not funded, the existing alarm system will continue to face operational issues, resulting in code violations and life safety issues.

- Inadequate fire alarm system components will continue deteriorating and remain noncompliant.
- Members, visitors, and other building occupants are at risk in the event of a fire emergency.

Cost of Recurring Operations: No additional cost anticipated.

Citation Driven: No.

Client Request: No.

Risk Assessment: Included in request.

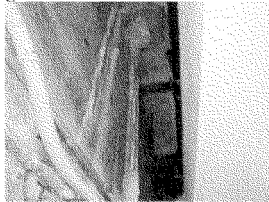
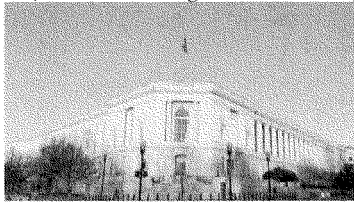
Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Projected Requirement
Study	-	-	-	-	-	-
Design	287	-	-	-	-	287
Construction (Phase I)	5,687	-	-	-	-	5,687
Construction (Phase II)	-	-	-	13,100	-	13,100
Construction (Multiple Future Phases)	-	-	-	-	-	-
USCP Overtime	-	-	-	-	-	-
Total	5,974	-	-	13,100	-	19,074



Senate Office Buildings

Project Title: Building Infrastructure Upgrades, RSOB **Request: \$3,100K**



Project Description (Study): As the Russell Senate Office Building is the oldest Senate building, many of its systems are over 50 years old, have exceeded useful life and continue to utilize equipment original to the construction. Temperature and humidity control systems are inadequate and lack reheat capability, while aged piping systems are corroded and electrical distribution contains outdated, original wiring. In addition, asbestos insulation is still prevalent throughout and structural fireproofing is inadequate. This project will upgrade heating, ventilation, and air-conditioning systems, eliminate steam radiators, replace hydronic and steam piping, upgrade electrical distribution, install structural fireproofing and improve the fire protection system.

Risk and Impact If Not Funded: If not funded, infrastructure systems will continue to deteriorate, resulting in occupant discomfort, potential safety threats, and increased annual maintenance and operation costs.

- Infrastructure systems will continue to degrade causing maintenance costs to increase.
- Lack of improved systems will result in increased Member and occupant complaints.
- Safety hazards could persist and endanger building occupants if not addressed.

Cost of Recurring Operations: No additional cost anticipated.

Citation Driven: No. **Client Request:** No. **Risk Assessment:** Not required.

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Projected Requirement
Study	-	-	-	3,100	-	3,100
Design	-	-	-	-	-	-
Construction	-	-	-	-	-	-
USCP Overtime	-	-	-	-	-	-
Total	-	-	-	3,100	-	3,100



House Office Buildings



AOC MISSION

To **serve** Congress and the Supreme Court, **preserve** America's Capitol, and **inspire** memorable experiences.

RESPONSIBILITIES IN SUPPORT OF THE AOC MISSION

The House Office Buildings (HOB) jurisdiction is responsible for the daily care, maintenance, repair and operations of the Cannon, Longworth and Ford House Office Buildings, the former House Page Dormitory, the Thomas P. O'Neill, Jr. Federal Building and the House underground garages.

The HOB jurisdiction:

- Provides important client services such as wood crafting and painting.
- Manages building infrastructure, including electrical, plumbing, heating, ventilation and air conditioning, fire alarm, subway and elevator systems.
- Performs daily maintenance of facilities including cleaning, recycling and floor care; provides cleaning services for the House Restaurant locations.
- Delivers all facility and infrastructure projects including studies, designs and construction.

Additional leases include space for the Office of Congressional Ethics in the Capitol View Building.

For a complete list of HOB facilities, please refer to the "Areas of Responsibility Summary" tables in this Budget Request.



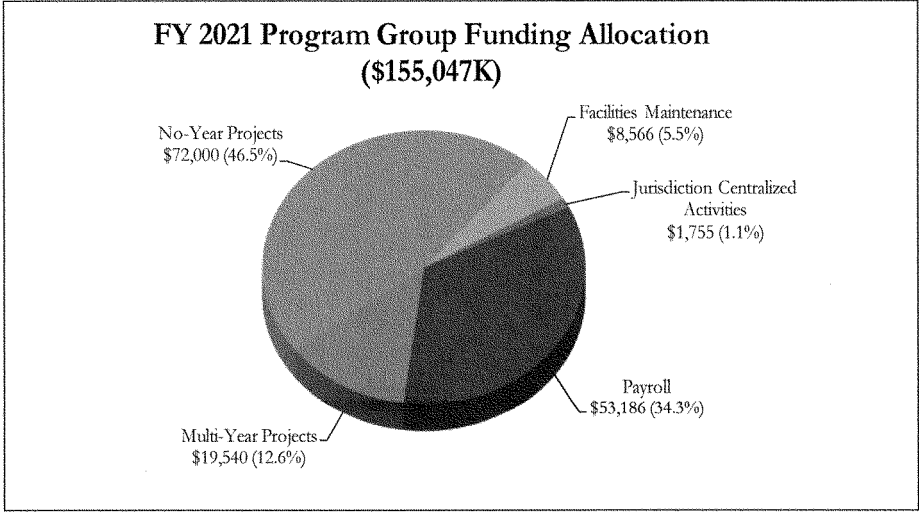
House Office Buildings

PROGRAM SUMMARY:

The **Operating Budget** request funds all costs associated with the daily care, maintenance and operation of its facilities in support of congressional operations. The HOB provides direct support to ensure efficient operations and maintenance of its facilities. The HOB operating budget is divided into three functional area Program Groups: Facilities Maintenance, Jurisdiction Centralized Activities and Payroll.

The **Multi-Year Projects Budget** request consists of major construction or system replacement requirements to address fire, life-safety and security issues; deferred maintenance; capital renewal; capital improvement; capital construction; and necessary studies and designs with a focus on energy savings. It also includes Minor Construction funds that provide jurisdictions with the flexibility to respond to unforeseen requirements as generated from emergencies, the Members, Committees and other AOC clients.

The **No-Year Projects Budget** request consists of funding for the restoration and renovation of the Cannon House Office Building and the House Historic Buildings Revitalization Trust Fund.





House Office Buildings

AREAS OF RESPONSIBILITY SUMMARY:

ASSIGNED FACILITIES

Facility Name/Type	Location	Year Built or Acquired	Area (square feet)	Deferred Maintenance (\$000)	Capital Renewal (\$000)	Backlog (\$000)
Cannon House Office Building	Washington, DC	1908	826,465	\$77,918	\$58,536	\$136,454
Longworth House Office Building	Washington, DC	1933	702,608	\$50,309	\$8,984	\$59,293
Ford House Office Building	Washington, DC	1939	594,966	\$6,543	\$24,012	\$30,555
House Page Dormitory	Washington, DC	1940	35,317	\$40	\$907	\$947
14 E Street*	Washington, DC	1950	6,255	-	-	-
Rayburn House Office Building**	Washington, DC	1965	2,395,914	\$301,590	\$81,964	\$383,554
Cannon Underground Garage (East)	Washington, DC	1968	287,931	\$456	-	\$456
Longworth Underground Garage (West)	Washington, DC	1968	287,477	-	-	-
O'Neill House Office Building	Washington, DC	2017	548,345	\$3,330	\$649	\$3,979
Pedestrian & Transport Tunnels***	Washington, DC	Varies	37,495	\$43,459	-	\$43,459
			5,722,773	\$483,645	\$175,052	\$658,697

Notes:

Deferred Maintenance: is defined as maintenance, repair or replacement work on existing facilities and infrastructure that is past due causing failure or partial failure.

Capital Renewal: is defined as replacement in kind to correct unacceptable conditions caused by aged building components prior to failure.

Backlog: equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance within a five year window.

House Page Dormitory: LBG assumes all responsibility for oversight, management, and expenditures for the National Library Service Operations associated with the facility.

***14 E Street:** a baseline assessment is currently underway.

****Rayburn Office Building:** is currently undergoing a re-assessment.

*****Pedestrian & Transport Tunnels:** a baseline assessment is currently ongoing.

LEASED FACILITIES

Lease Type	Location	Area (square feet)	Leased from	Contract Award Date	Contract End Date	FY 2019 Enacted (\$000)	FY 2020 Enacted (\$000)	FY 2021 Request (\$000)
Capitol View Building - Office of Congressional Ethics	Washington, DC	4,644	Private Sector	Feb, 2020	Feb, 2030	\$337	\$346	\$367

* O'Neill building custody, control and administrative jurisdiction transferred to the AOC HOB jurisdiction (P.L. 114-254, December 6, 2016).



House Office Buildings

TOTAL BUDGET REQUEST – FUNDING SUMMARY

Total Budget (\$000)				
Appropriation	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
Operating Budget	59,546	60,973	63,507	2,534
Multi-Year Projects	65,552	30,300	19,540	(10,760)
No-Year Projects	72,000	62,000	72,000	10,000
Total	197,098	153,273	155,047	1,774

Operating Budget (\$000)				
Program Groups	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
Facilities Maintenance	7,160	8,357	8,566	209
Jurisdiction Centralized Activities	2,627	1,691	1,755	64
Payroll	49,759	50,925	53,186	2,261
Total	59,546	60,973	63,507	2,534

Total Budget by Object Class (\$000)				
Object Class Groups	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
11 Personnel Compensation	36,357	37,209	38,861	1,652
12 Personnel Benefits	13,402	13,716	14,325	609
21 Travel	15	29	30	1
23 Rent, Communications & Utilities	337	346	369	22
24 Printing and Reproduction	-	-	-	-
25 Other Contractual Services	96,992	38,010	37,125	(886)
26 Supplies and Materials	6,261	6,349	6,687	337
31 Equipment	425	1,153	1,294	141
32 Land and Structures	43,309	56,458	56,355	(103)
42 Insurance Claims & Indemnities	3	2	2	-
Total	197,102	153,273	155,047	1,774



House Office Buildings

TOTAL BUDGET REQUEST - ANALYSIS OF CHANGE

	FY 2021 Appropriation	
	FTE	Amount (\$000)
FY 2020 Enacted		153,273
Payroll Funded FTEs	536	
Non-Recurring Costs:		
Multi Year Projects (FY 2020 Enacted).....		(17,200)
Minor Construction (FY 2020 Enacted).....		(7,000)
CAO Project Support (FY 2020 Enacted).....		(6,100)
No-Year Projects (FY 2020 Enacted).....		(62,000)
Total Program Decreases	-	(92,300)
Price Changes:		
Payroll Related:		
FY 2021 FERS Employer Contribution Rate Increase.....		558
FY 2021 Cost-of-Living Adjustment of 3.0%*.....		1,188
FY 2021 FEHB Employer Contribution of 3.2%.....		128
FY 2021 Within Grade Increase.....		387
Total Payroll Related Costs	-	2,261
Non-Payroll Related:		
FY 2021 Non-Pay Inflation Increase of 2.5%.....		252
Lease Escalation Costs.....		21
Total Non-Payroll Related Costs	-	273
Total Current Services	-	63,507
Program Increases		
Multi-Year Projects:		
CAO Project Support.....		7,540
Cannon-Capitol Tunnel Improvements.....		5,000
Minor Construction.....		7,000
No-Year Projects:		
Restoration and Renovation, CHOB.....		62,000
House Historic Buildings Revitalization Trust Fund.....		10,000
Total Program Increases	-	91,540
Net Increase/Decrease	-	1,774
FY 2021 Total Appropriation	536	155,047

* Incorporated in the FY 2021 Cost-of-Living Adjustment is a 2.5% pay raise (\$990K) and a locality pay area adjustment of .5% (\$198K)



House Office Buildings

OPERATING BUDGET REQUEST - SUMMARY OF CHANGES

The Operating Budget component of the House Office Buildings appropriation funds all costs associated with central office salaries, operations, activities and programs. The budget is divided into three functional area Program Groups. In accordance with sound financial management practices, these Program Groups are reviewed and adjusted to reflect changing program and pricing needs. Increases that cannot be absorbed are requested through the budget process.

Operating Budget (\$000)						
Program Groups	FY 2020 Enacted	Program Realignment/ Transfers & Non-Recurring	Price Increases	Program Increases	FY 2021 Request	FY 2020/2021 Difference
Facilities Maintenance	8,357	-	209	-	8,566	209
Jurisdiction Centralized Activities	1,691	-	64	-	1,755	64
Payroll	50,925	-	2,261	-	53,186	2,261
Total	60,973	-	2,534	-	63,507	2,534

Program Changes Justification

The Fiscal Year (FY) 2021 Operating Budget Request shows an increase of **\$2,534K** from the FY 2020 Enacted level.

Price Increases

The funding increase to the baseline includes inflationary cost for pay and non-pay programs based upon guidance from the Congressional Budget Office and lease escalation costs.



House Office Buildings

MULTI-YEAR BUDGET REQUEST - PROGRAM SUMMARY

The Capital Budget consists of major construction or system replacement requirements to address fire, life safety and security issues; deferred maintenance; capital renewal; capital improvement; capital construction; and necessary studies and designs. It also includes Minor Construction funds that provide jurisdictions with the flexibility to respond to unforeseen requirements as generated from emergencies, the Members, Committees and other AOC clients.

Multi-Year Budget by Project (\$000)	
	Request Amount
Line Item Construction Program Projects:	
Cannon-Capitol Tunnel Improvements.....	5,000
Total	5,000
Other Projects:	
Minor Construction.....	7,000
CAO Project Support.....	7,540
Total	14,540
Total Project Request	19,540

Chief Administrative Officer (CAO) Project Support

\$7,540K

Support for the U.S. House of Representatives Chief Administrative Officer (CAO) requests:

- The **Committee Hearing Room Renovations** increase of **\$1,800K** is requested to continue the annual renovation of two main and sub-Committee Rooms per year, as scheduled by Leadership and the Committee on House Administration. This will insure that the Committee Hearing rooms are of the technology and reliability Committees expect.
Impact if Not Funded: The aging Committee rooms audio visual systems will become less reliable and prone to fail preventing Committee Hearings from being distributed to the House community and the public.
- The **RHOB Spray Booth Installation** increase of **\$1,850K** will consist of properly ventilating the spaces in the CAO Furniture Finishing Shop and AOC Paint Shop. This initiative will provide support for the professional services of an Architect/Engineer to develop a study/program of requirements, code analysis and conceptual designs for the new shops and one new stripping sanding room to address deficiencies in the layout.
Impact if Not Funded: The shops will not be properly ventilated to meet inspection requirements.



House Office Buildings

MULTI-YEAR BUDGET REQUEST (continued)

- The **FHOB Data Center Space Realignment, Phase II** increase of **\$1,640K** requires renovation to remove and reconfigure the remaining utility infrastructure and accommodate future space buildout.
Impact if Not Funded: It will not allow for improved cyber security and customer service for the House Community. This will also enable a common operating picture across the House Information Resource's enterprise technology.
- The **UPS Power and Generator Power** increase of **\$800K** requires the installation of a UPS and power generator for closets with critical network components in various locations.
Impact if Not Funded: Planned and unplanned power outages in these critical areas will cause network outages for a wider portion of the building.
- The **Restaurant Equipment and Dining Facilities Repairs and Replacements** increase of **\$500K** will fund continuous maintenance and support of the House restaurant equipment and infrastructure.
Impact if Not Funded: Current kitchen equipment will continue to breakdown and become obsolete.
- The **Copper and Fiber Installation** increase of **\$350K** will fund the installation of copper and fiber as needed for renovation or new construction projects.
Impact if Not Funded: House Information Resource will need to fund projects that were not planned.
- The **Customer Experience Center (CEC) - First Call Renovation** increase of **\$300K** will fund phase I of this project that will complete the redesign of the main office footprint to reflect a new CEC storefront for First Call and Customer Advocate services. The newly designed space will accommodate up to 24 employees in addition to an influx of business stakeholders and customers.
Impact if Not Funded: The CAO will not be able to immediately address the needs of Members and their staff.
- The **House Creative Services (HCS) Staircase Upgrade and Room Renovation** increase of **\$300K** will fund stairs that connect RHOB 2002 and SB300 by HCS that is not up to code. HCS requires a digital storefront and an aesthetic office space for meeting the initiatives and offerings of HCS.
Impact if Not Funded: The space will remain a low functioning area that is not well suited to meet the needs of the department or Members and staff who visit the office on official business.



House Office Buildings

CAPITAL NO-YEAR PROJECTS

No-year funding **(\$10,000K)** is requested for the House Historic Buildings Revitalization Trust Fund (Fund). Public Law 111-68 established the Fund for use by the AOC for the revitalization of the major historical buildings and assets of the U.S. House of Representatives which the AOC is responsible for maintaining and preserving. The law also permits transfers to this Fund from amounts appropriated to the U.S. House of Representatives under any heading other than Members Representational Allowances, subject to the approval of the Committee on Appropriations of the U.S. House of Representatives. Any amounts transferred to and merged with, or otherwise deposited into the Fund, remain available until expended. Funds may not be obligated without the approval of the Committee on Appropriations of the U.S. House of Representatives.

No-year funding **(\$62,000K)** is requested for the Restoration and Renovation of the Cannon House Office Building (CHOB). The CHOB is undergoing major renovation work to address the deferred maintenance liabilities, capital renewal, capital improvements and citation abatement items identified by a Facility Condition Assessment that was completed in 2004 and revaluated in 2008.

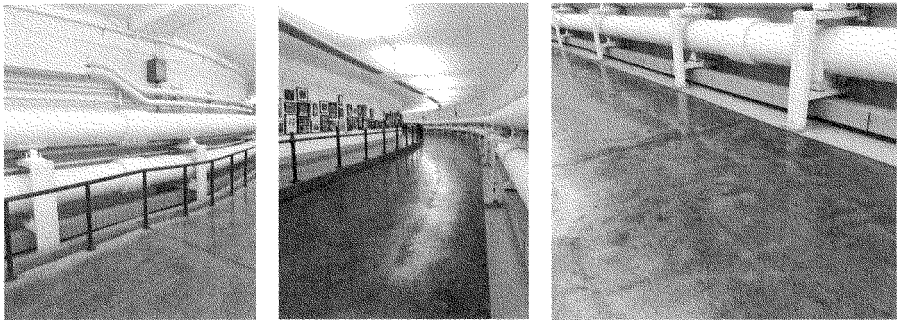
No-Year Projects (\$000)	
	Request Amount
No-Year Construction Projects:	
House Historic Buildings Revitalization Trust Fund.....	10,000
Restoration and Renovation, CHOB.....	62,000
Total Project Request	72,000



House Office Buildings

Project Title: Cannon-Capitol Tunnel Improvements

Request: \$5,000K



Project Description (Design): The Cannon-Capitol Tunnel provides a connection between two of the most historic buildings on Capitol Hill. The waterproofing membrane at the exterior face of the tunnel is failing, resulting in water ingress into the tunnel. This water ingress has caused staining on walls and ceilings, as well as water pooling at walkways causing unsafe conditions. As a result, interim water control measures such as the installation of drip pans have been used to address these deteriorating conditions temporarily. This project will develop construction documents for the beautification of the tunnel while investigating the requirements for replacement of the waterproofing system.

Risk and Impact If Not Funded: If not funded, tunnel conditions will continue to deteriorate, requiring additional water management intervention and ultimately preventing necessary beautification.

- Failure to replace waterproofing will result in continued tunnel deterioration.
- If water ingress is not addressed, water stains, damage, and pooling will continue to persist, requiring additional interim measures and further delaying aesthetic improvements to the tunnel.

Cost of Recurring Operations: No additional cost anticipated.

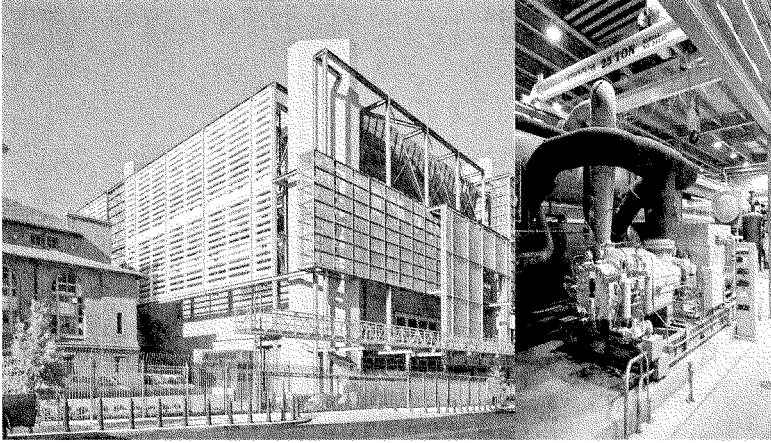
Citation Driven: No. **Client Request:** No. **Risk Assessment:** Not required.

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Total Projected Requirement
Study	92	-	-	-	-	92
Design	-	-	-	5,000	-	5,000
Construction	-	-	-	-	60,000	60,000
USCP Overtime	-	-	-	-	-	-
Total	92	-	-	5,000	60,000	65,092



Capitol Power Plant



AOC MISSION

To **serve** Congress and the Supreme Court, **preserve** America's Capitol, and **inspire** memorable experiences.

RESPONSIBILITIES IN SUPPORT OF AOC MISSION

The Capitol Power Plant (CPP) jurisdiction is the centralized provider of utility services for the Capitol complex and provides dedicated space for satellite communication dishes. It operates and maintains a central steam plant for heating, a refrigeration plant that provides chilled water for air conditioning and the tunnel distribution and associated metering systems to deliver these utilities.

The CPP jurisdiction:

- Provides steam and chilled water for the U.S. Capitol, Senate and House office buildings and garages, Library of Congress buildings, the U.S. Supreme Court and the U.S. Botanic Garden.
- Also provides steam and chilled water on a reimbursable basis to other clients, such as the Government Publishing Office, the Thurgood Marshall Federal Judiciary Building, the Postal Square Building, Union Station and the Folger Shakespeare Library.
- Leases the Railroad Track to support the operation of the Capitol Power Plant.

For a complete list of CPP facilities, please refer to the "Areas of Responsibility Summary" tables in this Budget Request.

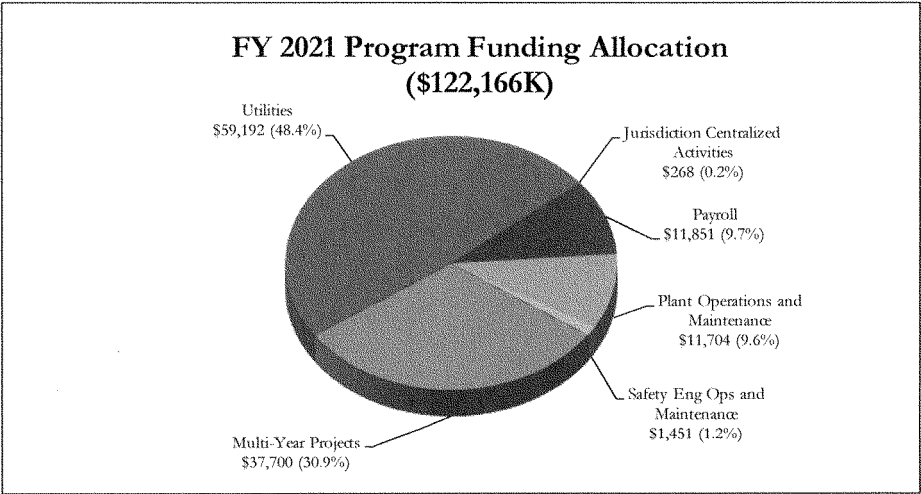


Capitol Power Plant

PROGRAM SUMMARY

The **Operating Budget** request funds all costs associated with the Capitol Power Plant appropriation daily care, maintenance and operation of its facility. The budget is divided into five functional area Program Groups: Jurisdiction Centralized Activities, Payroll, Plant Operations and Maintenance, Safety Engineering Operations and Maintenance and Utilities.

The **Multi-Year Projects Budget** funding request consists of major construction or system replacement requirements to address fire, life-safety and security issues; deferred maintenance; capital renewal; capital improvement; capital construction; and necessary studies and designs, with a focus on energy savings. It also may include funds that provide jurisdictions with the flexibility to respond to unforeseen minor construction requirements as generated from emergencies, the Members, Committees and other AOC clients.





Capitol Power Plant

AREAS OF RESPONSIBILITY SUMMARY:

ASSIGNED FACILITIES

Facility Name/Type	Location	Year Built or Acquired	Area (square feet)	Deferred Maintenance (\$000)	Capital Renewal (\$000)	Backlog (\$000)
Main Boiler Plant*	Washington, DC	1909	74,820	\$17,424	\$7,003	\$24,427
Generator Building*	Washington, DC	1909	30,542	\$1,639	-	\$1,639
Cogeneration Building (Formerly Fast Refrigeration Plant)	Washington, DC	1937	22,696	-	-	-
Communications Annex*	Washington, DC	1964	1,190	-	\$1,868	\$1,868
West Refrigeration Plant*	Washington, DC	1978	122,917	\$84,065	\$23,131	\$107,196
Administration Building†	Washington, DC	1978	19,085	\$962	\$160	\$1,122
Storage Building *	Washington, DC	2003	3,091	-	-	-
421 I Street **	Washington, DC	2010	2,700	-	-	-
Coal Yard Facilities†	Washington, DC	Varies	17,691	\$1,886	\$86	\$1,972
Support Facilities*	Washington, DC	Varies	15,464	\$20,844	-	\$20,844
Utility Tunnels***	Washington, DC	Varies	123,267	\$13,382	\$61,586	\$74,968
			433,463	\$140,202	\$93,834	\$234,036

Notes:

Deferred Maintenance: is defined as maintenance, repair or replacement work on existing facilities and infrastructure that is past due causing failure or partial failure.

Capital Renewal: is defined as replacement in kind to correct unacceptable conditions caused by aged building components prior to failure.

Backlog: equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance within a five year window.

***All Buildings:** a re-assessment of the Capitol Power Plant is currently underway.

****421 I Street:** a baseline assessment is currently underway.

*****Utility Tunnels:** consist of multiple utility tunnels throughout the Capitol Complex.

LEASED FACILITIES

Lease Type	Location	Area (square feet)	Leased from	Contract Award Date	Contract End Date	FY 2019 Enacted (\$000)	FY 2020 Enacted (\$000)	FY 2021 Request (\$000)
Railroad Track	Washington, DC	748 ft of track	Private Sector	Jan 2003	May 2024	\$61	\$67	\$70



Capitol Power Plant

TOTAL BUDGET REQUEST – FUNDING SUMMARY

Total Budget (\$000)				
Appropriation	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
Operating Budget	82,688	83,657	84,466	809
Multi-Year Projects	31,362	15,300	37,700	22,400
Total	114,050	98,957	122,166	23,209

Operating Budget (\$000)				
Program Groups	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
Jurisdiction Centralized Activities	254	261	268	7
Payroll	10,803	11,371	11,851	480
Plant Operations and Maintenance	12,346	12,643	11,704	(939)
Safety Eng Ops and Maintenance	185	190	1,451	1,261
Utilities	59,100	59,192	59,192	-
Total	82,688	83,657	84,466	809

Total Budget by Object Class (\$000)				
Object Class Groups	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
11 Personnel Compensation	7,621	8,022	8,360	339
12 Personnel Benefits	3,182	3,349	3,491	141
21 Travel	26	32	34	2
22 Transportation of Things	-	-	-	-
23 Rent, Communications & Utilities	54,126	48,527	54,039	5,513
24 Printing and Reproduction	-	-	-	-
25 Other Contractual Services	30,307	33,673	37,345	3,672
26 Supplies and Materials	3,559	3,019	3,802	783
31 Equipment	74	88	89	1
32 Land and Structures	15,155	2,248	15,006	12,758
42 Insurance Claims & Indemnities	-	-	-	-
Total	114,050	98,957	122,166	23,209



Capitol Power Plant

TOTAL BUDGET REQUEST - ANALYSIS OF CHANGE

	FY 2021 Appropriation	
	FTE	Amount (\$000)
FY 2020 Enacted		98,957
Payroll Funded FTEs	80	
Offsetting Collections		10,000
Adjusted, Appropriation, FY 2020.....	-	108,957
Non-Recurring Costs:		
Multi-Year Projects (FY 2020 Enacted).....		(11,300)
Minor Construction (FY 2020 Enacted).....		(4,000)
Program Realignment		
Realignment from Plant Operations and Maintenance to Safety Engineering Operations and Maintenance.....		(1,225)
Realignment from Plant Operations and Maintenance to Safety Engineering Operations and Maintenance.....		1,225
Total Program Decreases	-	(15,300)
Price Changes:		
Payroll Related:		
FY 2021 FERS Employer Contribution Rate Increase.....		125
FY 2021 Cost-of-Living Adjustment of 3.0%*.....		252
FY 2021 FEHB Employer Contribution of 3.2%.....		22
FY 2021 Within Grade Increase.....		81
Total Payroll Related Costs	-	480
Non-Payroll Related:		
FY 2021 Non-Pay Inflation Increase of 2.5%.....		329
Total Non-Payroll Related Costs	-	329
Total Current Services	-	94,466
Program Increases:		
Multi-Year Projects:		
Piping Replacement & Egress Improvements, RPR, WRP.....		28,400
Pipe Expansion Joint Improvements, G Tunnel.....		5,300
Minor Construction.....		4,000
Total Program Increases	-	37,700
Net Increase/Decrease	-	23,209
Offsetting Collections.....	-	(10,000)
FY 2021 Total Appropriation	80	122,166

* Incorporated in the FY 2021 Cost-of-Living Adjustment is a 2.5% pay raise (\$210K) and a locality pay area adjustment of .5% (\$42K)

Capitol Power Plant



OPERATING BUDGET REQUEST - SUMMARY OF CHANGES

The Operating Budget of the CPP appropriation funds all costs associated with the daily care, maintenance and operation of the CPP. The budget is divided into functional area Program Groups. In accordance with sound financial management practices, these Program Groups are reviewed and adjusted to reflect changing program and pricing needs. Increases that cannot be absorbed are requested through the budget process.

Operating Budget (\$000)						
Program Groups	FY 2020 Enacted	Program Realignment/ Transfers & Non-Recurring	Price Increases	Program Increases/ Decreases	FY 2021 Request	FY 2020/2021 Difference
Jurisdiction Centralized Activities	261	-	7	-	268	7
Payroll	11,371	-	480	-	11,851	480
Plant Operations and Maintenance	12,643	(1,225)	286	-	11,704	(939)
Safety Eng Ops and Maintenance	190	1,225	36	-	1,451	1,261
Utilities	59,192	-	-	-	59,192	-
Total	83,657	-	809	-	84,466	809

Program Changes Justification

The Fiscal Year (FY) 2021 Operating Budget Request shows an increase of **\$809K** from the FY 2020 Enacted level.

Program Realignments/Transfers

The funding realignment of **\$1,225K** is from the Plant Operations and Maintenance Program Group to the Safety Engineering Operations and Maintenance Program Group. The realignment is needed to reflect safety and environmental compliance training support services.

Price Increases

The funding increase to the baseline includes inflationary costs for pay and non-pay programs based upon guidance from the Congressional Budget Office.



Capitol Power Plant

UTILITIES FUNDING SUMMARY

Utilities Funding Allocation (\$000)			
Utilities	FY 2020 Enacted	Adjustments	FY 2021 Request
Purchase of electrical energy	26,837	650	27,487
Purchase natural gas	14,570	-	14,570
Purchase of steam	1,060	-	1,060
Purchase of oil	1,411	(400)	1,011
Purchase of solid fuel	500	(250)	250
Water & Sewer payments	8,398		8,398
Utilities for Postal Square	725	-	725
Energy Saving Performance Contracts	15,041		15,041
Energy Management/Reduction Services Contracts	650	-	650
Reimbursement, Steam & Chilled Water	(10,000)	-	(10,000)
Total	59,192	-	59,192

The Capitol Power Plant provides steam and/or chilled water to customers on a reimbursable basis. Amounts received up to \$10 million are deposited into the Treasury and credited to the Capitol Power Plant appropriation. These offsetting collections allow the Capitol Power Plant to purchase gas and electric and produce steam and/or chilled water.

Capitol Power Plant



MULTI-YEAR BUDGET REQUEST – PROGRAM SUMMARY

The Capitol Power Plant Budget consists of major construction or system replacement requirements to address fire, life-safety and security issues; deferred maintenance; capital renewal; capital improvement; capital construction; and necessary studies and designs, with a focus on energy savings.

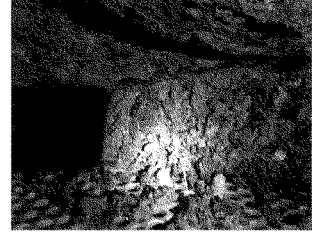
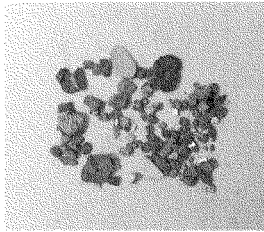
Multi-Year Budget by Project (\$000)		Request Amount
Line Item Construction Program Projects:		
Piping Replacement & Egress Improvements, RPR, WRP.....		28,400
Pipe Expansion Joint Improvements, G Tunnel.....		5,300
	Total	33,700
Other Projects:		
Minor Construction.....		4,000
	Total	4,000
	Total Project Request	37,700



Capitol Power Plant

Project Title: Piping Replacement and Egress Improvements,
Refrigeration Plant Revitalization,
West Refrigeration Plant

Request: \$28,400K



Project Description (Construction): The multi-phase Refrigeration Plant Revitalization program was initiated to renovate the aging 1970s West Refrigeration Plant, resulting in a significant increase in chilled water generation efficiency and reliability at the AOC. The existing piping is corroding and causes pieces of rust to pass through the various water piping systems resulting in additional damage. This specific Refrigeration Plant Revitalization sub-phase removes various 40-year old piping to allow for safe egress and includes various replacements and additions to bring the older West Refrigeration Plant equipment up to date. Demolition work includes the removal of the existing primary chilled water pumps (Nos. 1 and 2).

Risk and Impact If Not Funded: If not funded, the Power Plant risks its ability to carry out its mission of utility service to the Capitol complex.

- Continued corrosion of the piping systems will contaminate the water system and potentially damage new equipment.
- Excessive damage to the new chiller can result in reduction of capacity, efficiency, and reliability.

Cost of Recurring Operations: No additional cost anticipated.

Citation Driven: No.

Client Request: No.

Risk Assessment: Complete.



Capitol Power Plant

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Projected Requirement
Design ¹	7,232	-	-	-	-	7,232
Construction (Phase I)	16,331	-	-	-	-	16,331
Construction (Phase IIA)	26,319	-	-	-	-	26,319
Construction (Phase IIB)	16,154	-	-	-	-	16,154
Construction (Phase IIS)	4,686	-	-	-	-	4,686
Construction (Phase IIIA)	36,541	-	-	-	-	36,541
Construction (Phase IV)	-	21,215	-	-	-	21,215
Construction (Phase V)	-	-	-	28,400	-	28,400
Design (Phase VI)	-	724	-	-	-	724
Design (Phase VII)	-	714	-	-	-	714
Design (Phase VIII)	-	-	1,200	-	-	1,200
Future Construction Phases ²	-	-	-	-	75,341	75,341
USCP Overtime	200	-	-	-	-	200
Total	107,463	22,653	1,200	28,400	75,341	235,057

¹Design and construction costs include program management fees.

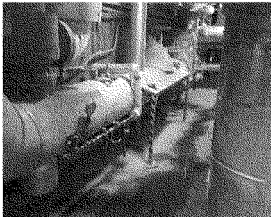
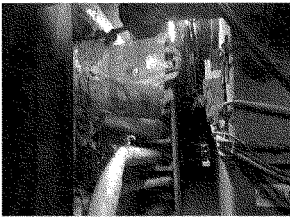
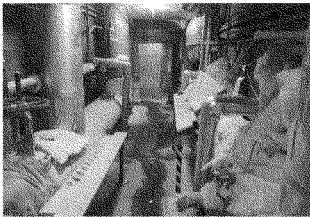
²Costs are currently being updated for future phases.

Capitol Power Plant



Project Title: Pipe Expansion Joint Improvements, G Tunnel

Request: \$5,300K



Project Description (Construction): Existing expansion joints and the high pressure condensate system in the G Tunnel are at the end of their service life and safe operation, as determined by an independent third party assessment program. The low pressure condensate system showed evidence of internal corrosion and erosion of pipe thickness as identified in the assessment program. This project will demolish and install new expansion joints on the high and low pressure steam condensate lines, and replace structural supports at selected locations. The AOC has committed to the Office of Compliance to maintain a safe and healthful environment in the tunnels by continuing such maintenance and repair programs.

Risk and Impact If Not Funded: If not funded, there will be an increased risk of service disruptions at the Capitol Power Plant, affecting Supreme Court operations.

- If not corrected, expansion joints and condensate piping will leak and fail, causing service interruptions to affected end users and rendering the Supreme Court inoperable.
- High temperatures and failed joints in the tunnel could cause catastrophic damage from an explosion or tunnel collapse.

Cost of Recurring Operations: No additional cost anticipated.

Citation Driven: Noted in settlement agreement. **Client Request:** No. **Risk Assessment:** Not required.

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Total Projected Requirement
Study	-	-	-	-	-	-
Design ¹	871	-	-	-	-	871
Construction	-	-	-	5,300	-	5,300
USCP Overtime	-	-	-	-	-	-
Total	871	-	-	5,300	-	6,171

¹G and Y Tunnel design both funded under same contract.

Library Buildings and Grounds



AOC MISSION

To **serve** Congress and the Supreme Court, **preserve** America's Capitol, and **inspire** memorable experiences.

RESPONSIBILITIES IN SUPPORT OF AOC MISSION

The Library Buildings and Grounds (LBG) jurisdiction is responsible for the lifecycle operations, maintenance, development, and stewardship of the Library of Congress (LOC) facilities and surrounding grounds. The Jurisdiction's real property assets include the Thomas Jefferson, John Adams, and James Madison Memorial Buildings on Capitol Hill; the Packard Campus for Audio-Visual Conservation in Culpeper, Virginia; the Library Collections Storage Facilities on the 100-acre campus at Fort Meade, Maryland; and, other leased facilities. The Library Buildings and Grounds staff is comprised of talented professionals with a breadth of expertise including engineering and architecture, project and facilities management, landscaping and horticulture, painting and refinishing, masonry and decorative plastering, occupational health and safety, business and finance, and the operations and maintenance of building systems and components ranging from heating and air conditioning, insulating, electrical, elevator, fire protection, and plumbing to carpentry, roofing, and sheet metal.

The LB&G jurisdiction:

- This outstanding team of skilled specialists and tradespersons work mostly behind the scenes providing exceptional service to support the Library of Congress mission by preserving historic structures and fine art; maintaining enhanced conditions for collections; ensuring a safe and comfortable environment for staff, and providing inspirational experiences for all visitors.

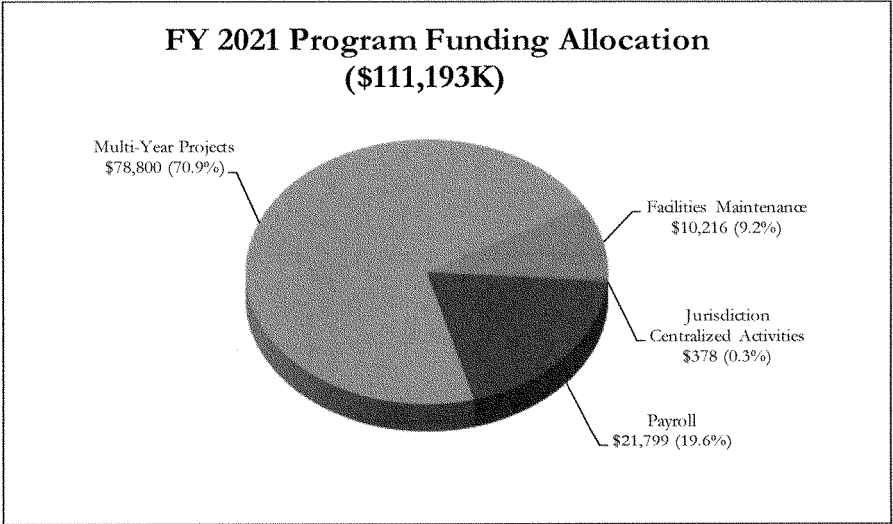


Library Buildings and Grounds

PROGRAM SUMMARY

The **Operating Budget** request funds all costs associated with the care, maintenance and operation of the LBG, with the exception of cleaning services. The budget is divided into three functional area Program Groups: Facilities Maintenance, Jurisdiction Centralized Activities and Payroll. LBG grounds maintenance is included in Facilities Maintenance.

The **Multi-Year Projects Budget** request consists of major construction or system replacement requirements to address fire, life-safety and security issues; deferred maintenance; capital renewal; capital improvement; capital construction; and necessary studies and designs, including efforts to achieve energy savings. It also may include funds to respond to unforeseen minor construction requirements as generated from emergencies, the Members, Committees and other AOC clients.





Library Buildings and Grounds

AREAS OF RESPONSIBILITY SUMMARY:

ASSIGNED FACILITIES

Facility Name/Type	Location	Year Built or Acquired	Area (square feet)	Deferred Maintenance (\$000)	Capital Renewal (\$000)	Backlog (\$000)
Thomas Jefferson Building*	Washington, DC	1897	635,144	\$96,791	\$27,937	\$124,728
John Adams Building	Washington, DC	1938	765,931	\$82,710	\$15,990	\$98,700
Ft. Meade Warehouses & Support Facilities	Ft. Meade, MD	1942	245,685	\$5,460	-	\$5,460
James Madison Memorial Building*	Washington, DC	1980	2,084,576	\$124,597	\$80,607	\$205,204
Special Services Facilities Center	Washington, DC	1990	42,654	\$599	\$655	\$1,254
Ft. Meade Collection Storage Modules	Ft. Mead, MD	2002	202,064	\$47	\$2,766	\$2,813
Packard Campus	Culpeper, VA	2007	429,706	\$18,669	\$6,559	\$25,228
Pedestrian Tunnels**	Washington, DC	Varies	9,708	-	-	-
			4,415,468	\$328,873	\$134,514	\$463,387

Notes:

Deferred Maintenance: is defined as maintenance, repair or replacement work on existing facilities and infrastructure that is past due causing failure or partial failure.

Capital Renewal: is defined as replacement in kind to correct unacceptable conditions caused by aged building components prior to failure.

Backlog: equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance within a five year window.

***Thomas Jefferson Building & James Madison Memorial Building:** are currently undergoing a re-assessment.

****Pedestrian Tunnels:** A baseline assessment is currently underway.

LEASED FACILITIES

Lease Type	Location	Area (square feet)	Leased from	Contract Award Date	Contract End Date	FY 2019 Enacted (\$000)	FY 2020 Enacted (\$000)	FY 2021 Request (\$000)
LOC Warehouses 1503 & 1505	Landover, MD	106,046	Private Sector	July 2017	June 2037	\$1,242	\$1,509	\$1,528
Copyright Warehouse 1519	Landover, MD	39,700	Private Sector	March 2020	February 2040	-	\$539	\$545
Total						\$1,242	\$2,048	\$2,073



Library Buildings and Grounds

TOTAL BUDGET REQUEST – FUNDING SUMMARY

Total Budget (\$000)				
Appropriation	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
Operating Budget	28,122	30,546	32,393	1,847
Multi-Year Projects	40,403	25,200	78,800	53,600
Total	68,525	55,746	111,193	55,447

Operating Budget (\$000)				
Program Groups	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
Facilities Maintenance	9,135	9,966	10,216	250
Jurisdiction Centralized Activities	359	368	378	10
Payroll	18,628	20,212	21,799	1,587
Total	28,122	30,546	32,393	1,847

Total Budget by Object Class (\$000)				
Object Class Groups	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
11 Personnel Compensation	13,533	14,684	15,837	1,153
12 Personnel Benefits	5,095	5,528	5,962	434
21 Travel	22	23	24	1
22 Transportation of Things	-	-	-	-
23 Rent, Communications & Utilities	1,269	1,509	1,529	20
24 Printing and Reproduction	-	-	-	-
25 Other Contractual Services	29,192	21,027	52,228	31,201
26 Supplies and Materials	9,856	7,032	7,527	495
31 Equipment	55	39	140	101
32 Land and Structures	9,502	5,903	27,945	22,042
42 Insurance Claims & Indemnities	-	-	-	-
Total	68,525	55,746	111,193	55,447



Library Buildings and Grounds

TOTAL BUDGET REQUEST – ANALYSIS OF CHANGE

	FY 2021 Appropriation	
	FTE	Amount (\$000)
FY 2020 Enacted		55,746
Payroll Funded FTEs	163	
Non-Recurring Costs:		
Multi-Year Projects (FY 2020 Enacted)		(16,500)
Minor Construction (FY 2020 Enacted).....		(3,500)
ESPC Management Program, LBG		(5,200)
Total Program Decreases	-	(25,200)
Price Changes:		
Payroll Related:		
FY 2021 FERS Employer Contribution Rate Increase.....		223
FY 2021 Cost-of-Living Adjustment of 3.0%*.....		423
FY 2021 FEHB Employer Contribution of 3.2%.....		50
FY 2021 Within Grade Increase.....		138
Total Payroll Related Costs	-	834
Non-Payroll Related:		
FY 2021 Non-pay Inflation Increase of 2.5%.....		260
Total Non-Payroll Related Costs	-	260
Total Current Services	-	31,640
Program Increases:		
Annual Program Increases:		
Payroll FTE Increase LOC Mission Support.....	8	753
Total Annual Program Increases	8	753
Multi-Year Projects:		
Collection Storage Module 7, Fort Meade.....		41,500
Performing Arts Reading Room Renovation, JMMB.....		9,700
Stained Glass Window Repairs, Northeast, East, and Southeast Windows, TJB.....		8,900
Sixth Floor Terrace, JMMB.....		8,600
Rain Leader Replacement, JAB.....		2,100
Exterior Masonry and Envelope Repairs, JAB.....		2,000
West Main Pavilion, Exit Stair G, TJB.....		2,000
Minor Construction.....		4,000
Total Program Increases	8	79,553
Net Increase/Decrease	8	55,447
FY 2021 Total Appropriation	171	111,193

* Incorporated in the FY 2021 Cost-of-Living Adjustment is a 2.5% pay raise (\$353K) and a locality pay area adjustment of .5% (\$70K)



Library Buildings and Grounds

OPERATING BUDGET REQUEST - SUMMARY OF CHANGES

The Operating Budget of the Library Buildings and Grounds appropriation funds all costs associated with the care, maintenance and operation of the Library Buildings and Grounds with the exception of cleaning services. The budget is divided into functional area Program Groups. In accordance with sound financial management practices, these Program Groups are reviewed and adjusted to reflect changing program needs and price changes. Increases that cannot be absorbed are requested through the budget process.

Operating Budget (\$000)						
Program Groups	FY 2020 Enacted	Program Realignment/ Transfers & Non-Recurring	Price Increases	Program Increases	FY 2021 Request	FY 2020/2021 Difference
Facilities Maintenance	9,966	-	250	-	10,216	250
Jurisdiction Centralized Activities	368	-	10	-	378	10
Payroll	20,212	-	834	753	21,799	1,587
Total	30,546	-	1,094	753	32,393	1,847

Program Changes Justification

The FY 2021 Operating Budget Request shows an increase of **\$1,847K** from the FY 2020 Enacted level. It includes **\$1,094K** in price increases and **\$753K** in program increases.

Price Increases

The funding increase to the baseline includes inflationary costs for pay and non-pay programs based upon guidance from the Congressional Budget Office.

Program Increases

Payroll Program (\$753K)

Library Buildings and Grounds requests a program increase to improve facilities maintenance needs that continue to arise for more than 4.4 million square feet of facilities supporting the Library of Congress property. The additional eight Full-Time Equivalents (FTEs) consist of:

- One Building Inspector for proactive inspections and identification of critical work requirements;
- Two Electricians to cover the second and third shifts that can safely maintain equipment, conduct after-hours repair, and respond to emergency situations;
- Three Electronics Mechanics to perform inspection, testing, maintenance, repairs, upgrades and installation of sophisticated fire alarm systems to ensure these systems are functional and in compliance with regulatory codes; and
- Two Mechanics located at Fort Meade to sufficiently support growing facilities needs and building coverage.

Additional FTEs will improve client services, planned maintenance, and overall building operations as well as corrective maintenance and grounds care. Without the additional funding the LBG will be unable to take necessary corrective actions to maintain and repair infrastructure, critical systems and equipment to support the LOCs' mission.



Library Buildings and Grounds

MULTI-YEAR BUDGET REQUEST - PROGRAM SUMMARY

The Capital Budget consists of major construction or system replacement requirements to address fire, life-safety and security issues; deferred maintenance; capital renewal; capital improvement; capital construction; and necessary studies and designs including efforts to achieve energy savings. It also includes Minor Construction funds that provide jurisdictions with the flexibility to respond to unforeseen requirements as generated from emergencies, the Members, Committees and other AOC clients.

Multi-Year Budget by Project (\$000)	
Line Item Construction Program Projects:	Request Amount
Collection Storage Module 7, Fort Meade.....	41,500
Performing Arts Reading Room Renovation, JMMB.....	9,700
Stained Glass Window Repairs, Northeast, East, and Southeast Windows, TJB.....	8,900
Sixth Floor Terrace, JMMB.....	8,600
Rain Leader Replacement, JAB.....	2,100
Exterior Masonry and Envelope Repairs, JAB.....	2,000
West Main Pavillion, Exit Stair G, TJB.....	2,000
Total	74,800
Other Projects:	
Minor Construction.....	4,000
Total	4,000
Total Project Request	78,800

Minor Construction

\$4,000K

An additional **\$500K** is requested from the previous year to better address deferred maintenance and meet the unforeseen facilities architectural needs that arise over the course of a year. Having the funding to address the deteriorating or failing conditions identified in the Facility Condition Assessment of the Library Buildings will allow corrective actions to maintain and repair building conditions. The Facility Condition Assessment identified over \$463 million of deferred maintenance requirements, much of which does not meet the criteria for the Capital Improvement Program. However, Minor Construction funding will provide the means to plan, design, and complete appropriate maintenance, repairs and construction projects.

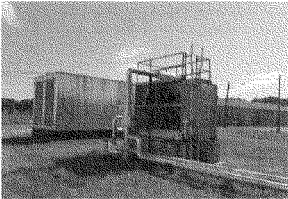
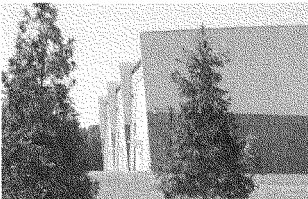
Risk and Impact if Not Funded: These current conditions will continue to allow water infiltration, which damages the interior and exterior of the buildings and continues to put invaluable collections at risk of damage or loss. Additionally, the deferred maintenance backlog will continue to increase. If a systematic and sustainable approach is not taken, the building conditions will continue to degrade and put at risk the building structure, interior architectural/historic elements, and invaluable LOC collections.



Library Buildings and Grounds

Project Title: Collection Storage Module 7, Ft. Meade

Request: \$41,500K



Project Description (Construction): The Library of Congress book and bound periodical collections grow by approximately 250,000 items annually. Its Capitol Hill spaces are filled to overcapacity, causing various personnel safety, retrieval, and preservation concerns. As a result, collections are stored on the floor in the book stacks of the Thomas Jefferson and John Adams Buildings, as well as at off-site leased facilities to account for the lack of adequate space. This project is for the construction of additional permanent storage space at the LOC's Fort Meade campus, Book Storage Module 7, to alleviate the shortage of collection capacity on Capitol Hill. The project will allow for the long-term preservation of collections by constructing a climate controlled, secure, non-leased storage facility.

Risk and Impact If Not Funded: If not funded, lack of adequate storage space will prevent the Library from housing new collections, ultimately interfering with its mission.

- Collections storage on the floor will continue to pose an egress and tripping hazard risk to Library staff.
- Lack of additional storage will pose dangerous conditions for newly acquired Library collections.
- Inadequate preservation of collections will disrupt the Library's ability to meet its mission.

Cost of Recurring Operations: No additional cost anticipated.

Citation Driven: Yes

Client Request: Yes.

Risk Assessment: Complete.

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

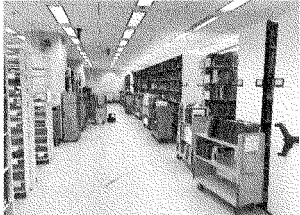
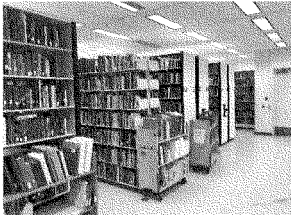
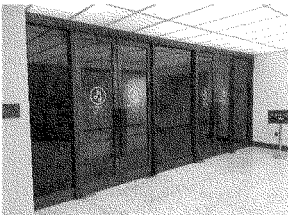
Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Projected Requirement
Study	-	-	-	-	-	-
Design	983	-	-	-	-	983
Construction	-	-	-	41,500	-	41,500
USCP Overtime	-	-	-	-	-	-
Total	983	-	-	41,500	-	42,483



Library Buildings and Grounds

Project Title: Performing Arts Reading Room Renovation, JMMB

Request: \$9,700K



Project Description (Construction): Currently, the Library of Congress has two separate reading rooms for Recorded Sound, Performing Arts and Motion Picture. Various physical, code, and operational defects characterize the existing spaces. The existing rooms house outdated equipment and are not universally accessible due to ADA barriers. In addition, finishes are deteriorated and room configurations are no longer conducive to optimal functionality and staffing efficiency. This project will provide various upgrades for the consolidation and reconfiguration of the existing spaces, including removal of obsolete equipment, modification of entrance door hardware to remove accessibility barriers, replacement of existing finishes (floors, walls, ceilings) and creation of expanded storage and a multipurpose training and conference room space.

Risk and Impact If Not Funded: If not funded, the Library will not be able to adequately meet its mission for all visitors.

- The spaces will remain noncompliant, interfering with the ability to provide access to all visitors.
- Continued insufficient use of existing space will result in a subpar user experience for visitors.

Cost of Recurring Operations: No additional cost anticipated.

Citation Driven: No.

Client Request: Yes.

Risk Assessment: Not required.

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Projected Requirement
Study	-	-	-	-	-	-
Design ¹	591	-	-	-	-	591
Construction	-	-	-	9,700	-	9,700
USCP Overtime	-	-	-	-	-	-
Total	591	-	-	9,700	-	10,291

¹Funding provided by Library of Congress.



Library Buildings and Grounds

Project Title: Stained Glass Window Repairs, Northeast, East, and Southeast Windows, TJB

Request: \$8,900K



Project Description (Construction): The Thomas Jefferson Building opened in 1897. The original eight stained glass, semi-circular windows of the Thomas Jefferson Building Main Reading Room are in various states of disrepair. Due to the inability to access the windows, they have not been comprehensively restored in their 121 year history. All of the windows have broken glass, missing pieces, and in some cases are sagging inward due to deteriorated mullions. This project will renovate and restore the Main Reading Room windows through a complete removal and cleaning process that conserves historic qualities. This first of four phases will conserve and restore the northeast, east, and southeast windows.

Risk and Impact If Not Funded: If not funded, deteriorating conditions will worsen and jeopardize the safety of employees, visitors, and historical assets.

- Further failure of the windows could result in shards of glass falling into the Main Reading Room.
- Irreplaceable loss of heritage assets will occur if conditions are not addressed.

Cost of Recurring Operations: No additional costs anticipated.

Citation Driven: No.

Client Request: No.

Risk Assessment: Included in request.

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

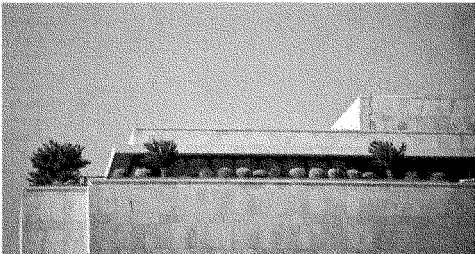
Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Projected Requirement
Study	37	-	-	-	-	37
Design	135	-	-	-	-	135
Construction (Phase I)	-	-	-	8,900	-	8,900
Construction (Phase II)	-	-	-	-	7,000	7,000
Construction (Phase III)	-	-	-	-	7,000	7,000
Construction (Phase IV)	-	-	-	-	4,000	4,000
USCP Overtime	-	-	-	-	-	-
Total	172	-	-	8,900	18,000	27,072



Library Buildings and Grounds

Project Title: Sixth Floor Terrace, JMMB

Request: \$8,600K



Project Description (Construction): The James Madison Memorial Building roof was last replaced in the mid-1990s. Since then, the building has experienced water infiltration into various fifth floor spaces, including vault space housing significant Library of Congress holdings such as the Library’s Platinum and Gold Collections. As these collections include the Library’s most priceless, rare items, careful precautions must be taken to prevent damage. This project will remove the sixth floor terrace roofing, membrane, insulation, and decking, and replace with new more durable materials for a longer lifespan.

- Risk and Impact If Not Funded:** If not funded, roof leaks will continue, damaging existing structure and roof system and endangering the health of nearby staff.
- Water infiltration will lead to the irreplaceable loss of historic collections.
 - Mold and mildew could develop, affecting staff space below.

Cost of Recurring Operations: No additional cost anticipated.

Citation Driven: No. **Client Request:** No. **Risk Assessment:** Not required.

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

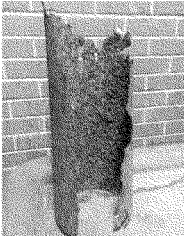
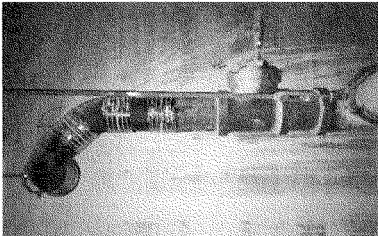
Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Projected Requirement
Study	-	-	-	-	-	-
Design	236	-	-	-	-	236
Construction	-	-	-	8,398	-	8,398
USCP Overtime	-	-	-	202	-	202
Total	236	-	-	8,600	-	8,836



Library Buildings and Grounds

Project Title: Rain Leader Replacement, JAB

Request: \$2,100K



Project Description (Construction): Significant water leaks, damage to plaster, and degradation of interior areas and conditions exist in the John Adams Building due to deteriorating rain leaders. Approximately 75% of rain leaders were replaced prior to 2014. This project will replace the remaining 25% of rain leader pipes original to the building's construction. These severely damaged pipes are primarily located in the northwest quadrant of the building and subject to active leaks on a regular and recurring basis. The project will replace existing rain leaders within walls using a method of parallel replacement, installing new ones parallel to the existing and abandoning the existing in place upon completion.

Risk and Impact If Not Funded: If not funded, existing leaks will continue and new leaks will arise, causing disruptions to operations and potentially to Library collections.

- New leaks will increase in frequency and severity.
- Water infiltration will lead to damage to library collections, offices and equipment, and other valuable assets.

Cost of Recurring Operations: No additional cost anticipated.

Citation Driven: No.

Client Request: No.

Risk Assessment: Not required.

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

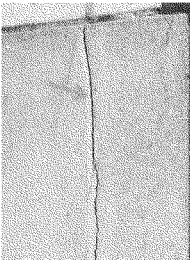
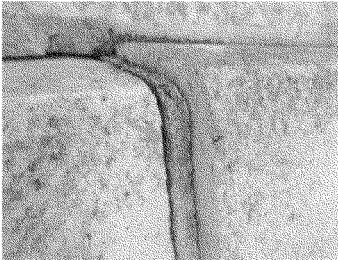
Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Projected Requirement
Study	-	-	-	-	-	-
Design	728	-	-	-	-	728
Construction	5,319	-	-	2,100	-	7,419
USCP Overtime	-	-	-	-	-	-
Total	6,047	-	-	2,100	-	8,147



Library Buildings and Grounds

Project Title: Exterior Masonry and Envelope Repairs, JAB

Request: \$2,000K



Project Description (Design): Stone joints on the façade of the John Adams Building are open and existing sealant is not bonded to the stone. The entire building is in need of repointing and cleaning, and spalled stone at the upper levels and parapet wall needs to be repaired. In addition, sealant around all windows needs to be replaced, window frames must be cleaned and corroded steel shelf angles will also need to be replaced. This project will provide control joints in the facade as needed to prevent shifting. It will also repair and clean south facing stairs and walls along Pennsylvania Avenue, repair roof and parapet walls of the 5th floor setback, and repoint brick walls at the moat.

Risk and Impact If Not Funded: If not funded, exterior stone failure will endanger occupant and visitor well-being.

- Falling masonry can pose safety threats to occupants and visitors.
- Continued deterioration will cause repair costs to increase if not addressed.

Cost of Recurring Operations: Additional maintenance funds will be required after project completion.

Citation Driven: No. **Client Request:** No. **Risk Assessment:** Included in request.

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated ²	Projected Requirement
Study	176	-	-	-	-	176
Design	-	-	-	2,000	-	2,000
Construction - Stabilization ¹	7	-	-	-	-	7
Construction (All Phases)	-	-	-	-	13,000	13,000
USCP Overtime	-	-	-	-	-	-
Total	183	-	-	2,000	13,000	15,183

¹Stabilization funded through annual appropriations in FY 2017.

²Construction costs based on study completed in 2016.



Library Buildings and Grounds

Project Title: West Main Pavilion, Exit Stair G, TJB

Request: \$2,000K



Project Description (Design): An egress study of the Thomas Jefferson Building documented insufficient enclosed stairwells and exits. The building does not have adequate exit capacity and is not in compliance with NFPA 101 Life Safety Code. This project is an integral part of an approved abatement plan to address an Office of Congressional Workplace Rights citation regarding these egress deficiencies. It will increase available exit capacity of the building, provide a code compliant means of egress from the TJB attic and decrease excessive travel distances by providing new code compliant exit stairs in the southwest courtyard. It will also construct fire-rated exit passageways, a fire-related enclosure and a cellar exit.

Risk and Impact If Not Funded: If not funded, the building’s egress will remain noncompliant and life-safety risks for building users and the public will remain

- Lack of available exits could result in delays to and overcrowding in egress pathways during an emergency.
- Building occupants will be at greater risk in the event of an evacuation without sufficient means of egress.
- The building will remain noncompliant with NFPA 1010 life safety code requirements for occupant egress.

Cost of Recurring Operations: No additional cost anticipated.

Citation Driven: Yes.

Client Request: Yes.

Risk Assessment: Required.

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Projected Requirement
Study	-	-	-	-	-	-
Design	1,000	-	-	2,000	-	3,000
Construction	-	-	-	-	15,000	15,000
USCP Overtime	-	-	-	-	-	-
Total	1,000	-	-	2,000	15,000	18,000



Capitol Police Buildings, Grounds and Security



AOC MISSION

To **serve** Congress and the Supreme Court, **preserve** America's Capitol, and **inspire** memorable experiences.

RESPONSIBILITIES IN SUPPORT OF AOC MISSION

The Office of Security Programs (OSP) manages the Capitol Police Buildings, Grounds & Security appropriation and is responsible for the maintenance, care and operation of buildings, grounds and security enhancements of the United States Capitol Police (USCP) and AOC security and resilience/continuity programs. Jurisdiction facilities include the USCP Headquarters; Courier Acceptance Site; Vehicle Maintenance/Hazardous Device Unit Facility; Canine (K-9) Facility; Chemical/Explosive Storage Facility; Interim Offsite Delivery Facility; Reservation 6G parking lot next to the Fairchild Building; a 12-acre site; and leased space within the Fairchild Building, the Government Printing Office, the Verizon Building and the lease of equipment space for USCP Radio repeater towers.

The Office of Security Programs:

- Develops and manages AOC security policies and programs.
- Leads AOC-wide resilience programs such as continuity of operations and critical infrastructure.
- Liaises with the USCP Command Center during emergency and security incidents.
- Supports the Capitol Police Board and Joint Congressional Continuity Board.

For a complete list of OSP facilities, please refer to the "Areas of Responsibility Summary" tables in this Budget Request.



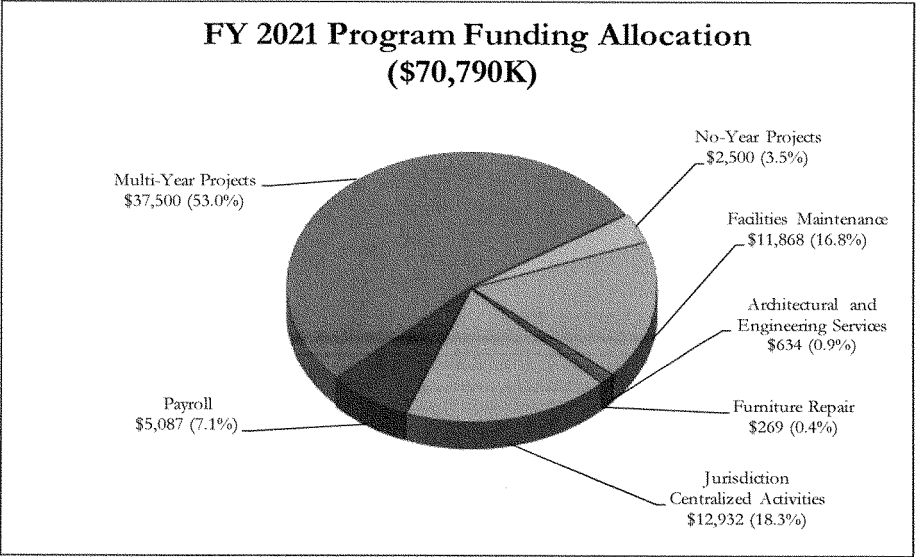
Capitol Police Buildings, Grounds and Security

PROGRAM SUMMARY

The **Operating Budget** request funds all costs associated with the daily care, maintenance and operation of its grounds and facilities, as well as various continuity, administrative, safety, technical, planning, resilience and security functions. The budget is divided into five functional area Program Groups: Architectural and Engineering Services, Facilities Maintenance, Furniture Repair, Jurisdiction Centralized Activities and Payroll. In accordance with sound financial management practices, these Program Groups are reviewed and adjusted to reflect changing program and pricing needs.

The **Multi-Year Projects Budget** request consists of major construction or system replacement requirements to support the USCP and House and Senate Sergeant at Arms' mission; Congressional continuity; fire, life-safety, and security issues; deferred maintenance; capital renewal; capital improvement; capital construction; and necessary studies and designs. It also includes Minor Construction funds that provide the flexibility to execute projects and respond to unforeseen requirements as generated from emergencies, the Members, Committees and other Architect of the Capitol clients.

The **No-Year Projects Budget** request consists of funding to support the Joint Audible Warning System (JAWS).





Capitol Police Buildings, Grounds and Security

AREAS OF RESPONSIBILITY SUMMARY:

ASSIGNED FACILITIES

Facility Name/Type	Location	Year Built or Acquired	Area (square feet)	Deferred Maintenance (\$000)	Capital Renewal (\$000)	Backlog (\$000)
Headquarters Building	Washington, DC	1930	85,382	\$1,624	\$1,155	\$2,779
Vehicle Maintenance Facility	Washington, DC	1930	23,842	\$5	\$1,471	\$1,476
Courier Acceptance	Washington, DC	1980	5,229	-	-	-
Offsite Facility	Redacted	Redacted	Redacted	\$10,276	\$29,347	\$39,623
Canine Facility	Washington, DC	1996	5,393	\$17	\$101	\$118
Fairchild Building	Washington, DC	2004	166,507	-	\$599	\$599
Interim Off Site Delivery	Washington, DC	2006	11,453	\$88	\$86	\$174
Security Kiosks	Washington, DC	Varies	6,298	-	\$13,169	\$13,169
Work Across Multiple Facilities	Washington, DC	Varies	Varies	-	\$520	\$520
			649,386	\$12,010	\$46,448	\$58,458

Notes:

Deferred Maintenance: is defined as maintenance, repair or replacement work on existing facilities and infrastructure that is past due causing failure or partial

Capital Renewal: is defined as replacement in kind to correct unacceptable conditions caused by aged building components prior to failure.

Backlog: equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance within a five year window.

Courier Acceptance: a facility condition assessment has not yet been completed.

Work Across Multiple Facilities: includes Point of Presence Rooms and the Verizon SW Communication Center.

LEASED FACILITIES

Lease Type	Location	Area (square feet)	Leased from	Contract Award Date	Contract End Date	FY 2019 Enacted (\$000)	FY 2020 Enacted (\$000)	FY 2021 Request (\$000)
Fairchild Building (office & parking)	Washington, DC	120,655	Private Sector	Feb 2004	Feb 2024	\$6,028	\$6,358	\$6,524
Government Publishing Office	Washington, DC	36,561	Federal Gov't	Oct 2005	Annually	\$903	\$599	\$617
Verizon Building	Washington, DC	6,085	Private Sector	Jul 2011	Jul 2021	\$177	\$180	\$388
Radio Tower Repeater Sites ¹	DC Metro Area	1,000	Private Sector	Aug 2012	Aug 2022	\$614	\$633	\$648
Total						\$7,721	\$7,770	\$8,177

¹ One Radio Tower Repeater Site is leased from DC Gov't.



Capitol Police Buildings, Grounds and Security

TOTAL BUDGET REQUEST – FUNDING SUMMARY

Total Budget (\$000)				
Appropriation	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
Operating Budget	25,937	27,216	30,790	3,574
Multi-Year Projects	31,777	28,000	37,500	9,500
No-Year Projects	-	-	2,500	2,500
Total	57,714	55,216	70,790	15,574

Operating Budget (\$000)				
Program Groups	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
Architectural and Engineering Services	-	550	634	84
Facilities Maintenance	11,074	11,183	11,868	685
Furniture Repair	141	145	269	124
Jurisdiction Centralized Activities	10,709	10,833	12,932	2,099
Payroll	4,013	4,505	5,087	582
Total	25,937	27,216	30,790	3,574

Total Budget by Object Class (\$000)				
Object Class Groups	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
11 Personnel Compensation	2,916	3,273	3,696	423
12 Personnel Benefits	1,097	1,232	1,391	159
21 Travel	12	9	11	2
22 Transportation of Things	-	-	-	-
23 Rent, Communications & Utilities	7,273	7,795	8,278	483
24 Printing and Reproduction	-	-	-	-
25 Other Contractual Services	45,582	38,914	50,557	11,644
26 Supplies and Materials	394	462	482	19
31 Equipment	-	-	-	-
32 Land and Structures	440	3,531	6,375	2,843
42 Insurance Claims & Indemnities	-	-	-	-
Total	57,714	55,216	70,790	15,574



Capitol Police Buildings, Grounds and Security

TOTAL BUDGET REQUEST – ANALYSIS OF CHANGE

	FY 2021 Appropriation	
	FTE	Amount (\$000)
FY 2020 Enacted		55,216
Payroll Funded FTEs	28	
Non-Recurring Costs:		
Multi-Year Projects (FY 2020 Enacted).....		(23,000)
Minor Construction (FY 2020 Enacted).....		(5,000)
Total Program Decreases	-	(28,000)
Price Changes		
Payroll Related:		
FY 2021 FERS Employer Contribution Rate Increase.....		51
FY 2021 Cost-of-Living Adjustment of 3.0%*.....		97
FY 2021 FEHIB Employer Contribution of 3.2%.....		6
FY 2021 Within Grade Increase.....		30
Total Payroll Related Costs	-	184
Non-Payroll Related:		
FY 2021 Non-Pay Inflation Increase of 2.5%.....		563
Lease Escalation Costs.....		407
Total Non-Payroll Related Costs	-	970
Total Current Services	-	28,370
Program Increases		
Annual Program Increases:		
Security Support Payroll FTE Increase.....	3	398
Jurisdiction Centralized Activities Program.....		1,427
Facilities Maintenance Program.....		405
Furniture Repair Program.....		120
Architectural and Engineering Services Program.....		70
Total Annual Program Increases	3	2,420
Multi-Year Projects:		
East Plaza Lighting Upgrade & Restoration, USC.....		8,900
Barrier Lifecycle and Security Kiosk Repairs and Replacement, Phase V, CPBG&S.....		8,300
Computer Room Air Conditioning Unit Replacements, OSP.....		5,300
Chiller Replacement and Chilled Water System Expansion, OSP.....		4,700
USCP Conduit Installation, OSP.....		2,900
Resiliency Upgrades, OSP.....		2,400
Minor Construction.....		5,000
No-Year Projects:		
Joint Audible Warning System (JAWS).....		2,500
Total Program Increases	3	42,420
Net Increase/Decrease	3	15,574
FY 2021 Total Appropriation	31	70,790

* Incorporated in the FY 2021 Cost-of-Living Adjustment is a 2.5% pay raise (\$81K) and a locality pay area adjustment of .5% (\$16K)



Capitol Police Buildings, Grounds and Security

OPERATING BUDGET REQUEST – SUMMARY OF CHANGES

The Operating Budget component of the Capitol Police Buildings, Grounds & Security appropriation funds all costs associated with the daily care, maintenance and operation of its grounds and facilities and the management of AOC security and resilience programs. The budget is divided into five functional area Program Groups. In accordance with sound financial management practices, these Program Groups are reviewed and adjusted to reflect changing program and pricing needs. Increases that cannot be absorbed are requested through the budget process.

Operating Budget (\$000)						
Program Groups	FY 2020 Enacted	Program Realignment/ Transfers & Non-Recurring	Price Increases	Program Increases	FY 2021 Request	FY 2020/2021 Difference
Architectural and Engineering Services	550	-	14	70	634	84
Facilities Maintenance	11,183	-	280	405	11,868	685
Furniture Repair	145	-	4	120	269	124
Jurisdiction Centralized Activities	10,833	-	672	1,427	12,932	2,099
Payroll	4,505	-	184	398	5,087	582
Total	27,216	-	1,154	2,420	30,790	3,574

Program Changes Justification

The Fiscal Year (FY) 2021 Operating Budget Request shows an increase of **\$3,574K** from the FY 2020 Enacted level. It includes **\$1,154K** in price increases and **\$2,420K** in program increases.

Price Increases

The funding increase to the baseline includes inflationary costs for pay and non-pay programs, as based upon guidance from the Congressional Budget Office and lease escalation costs.

Program Increases

Payroll FTE Increase (\$398K)

The funding increase to the baseline is for three additional Full-Time Equivalents (FTE). Additional funds are required for one Construction Manager, one Facility Operations Specialist and one Staff Assistant.

- **Construction Manager (CM):** This position will be responsible for developing and implementing security-related projects. Additionally, the prospective candidate will have the ability to obtain a security clearance for the management of sensitive projects. The newly formed division of Security Infrastructure allows OSP to meet the ever increasing needs to provide security based projects, a dedicated CM with a security clearance will provide additional support to complete the construction of these additional projects. The sensitive nature of these types of projects is best suited to be executed by OSP. Based on the need to complete multiple projects with a sensitive nature, the OSP Security Infrastructure Division is requesting a new CM to provide dedicated focus for the management and implementation of construction projects related to critical infrastructure to coordinate all aspects of these services.



Capitol Police Buildings, Grounds and Security

OPERATING BUDGET REQUEST (continued)

- **Facility Operations Specialist:** The OSP FM Division is requesting a new Facility Operation Specialist to provide specialized focus on critical system and energy management support for OSP operations. This proposed position will monitor and manage the critical infrastructure systems operating in OSP facilities, and serve as a focal point for energy and load management for OSP jurisdictional data centers and facilities. The installation of a new uninterruptible power supply systems and planned installation of a comprehensive Data Center Infrastructure management (DCIM) system in Fiscal Year 2020, will increase requirements for managing these systems and will challenge the capability of the current staffing level. Additionally, increased client focus at the Off-Site facility has resulted in a rise in client requests, requiring additional attention and coordination for project management, and contract acquisition.
- **Staff Assistant:** A position request to accommodate increased requirements for OSP operations, stakeholder communications and executive management responsibilities. The incumbent will provide essential services to address key challenges currently within the OSP where communications materials are essential to keep customers informed of the many priorities and initiatives impacting the congressional community. The delivery of accurate and timely status updates for critical facility projects, facility condition reports and future initiatives are essential to organizational success. This position will address shortfalls in administrative support requirements as the scope of OSP operations have increased and implementation of security measures for projects and facility improvement efforts have escalated.

Architectural and Engineering Services (\$70K)

Additional funding is needed to develop, design and procure packages for the LICP budget submission, for client request projects (USCP, SSAA and HSAA), and for AOC facility projects that appropriately capture the scopes, requirements, designs and independent government estimates for each project and properly executed out of the Architectural and Engineering services program group. The scope of work includes studies, concept/program development, preliminary investigations, full designs, 30% design development drawings, specifications, and associated Independent Government Estimates. These packages are needed to develop reliable budgets for funding requests and clear scopes for solicitation packages for projects that address security vulnerabilities and facility requirements that would compromise the readiness and resilience of the Capitol complex.

Facilities Maintenance (\$405K)

- **U.S. Capitol Police (USCP) Consolidated Facilities (\$298K):** The new program additions are generated as a result of changing USCP needs/requirements. The Andrews Federal Center parking lot was built to support USCP's vehicle fleet operations for lifecycle replacement of police vehicles. The KaraBlock is a new type of security element that better meets security requirements than standard jersey barriers. This funding is for the transport, setup and demobilization of KaraBlock elements in support of security projects across the Capitol Complex. The OSP has increased the leasing square footage to meet new/growing USCP operations. This funding will expand the current CFM contract for maintenance and custodial services.
- **Special Event Support (\$107K):** Additional funding is requested due to an increase in security requirements for special event support, as well as an increase in the number and type events being supported. The requested amount includes snow fence installation to support four major events, additional screening tents, increased police requirements for jersey barriers, and costs for an additional crane to deploy jersey barriers within USCP time requirements.



Capitol Police Buildings, Grounds and Security

OPERATING BUDGET REQUEST (continued)

Furniture (\$120K)

Funding provides new USCP furniture requirements and the lifecycle replacement of specific furniture elements. The current furniture is nearing 16 years old with some elements requiring replacement. New manufacturer specifications prohibit mixing of old and new furniture components, which will require replacement of entire sections at one time.

Jurisdiction Centralized Activities (\$1,427K)

- **Lease Space in the Fairchild and Verizon Buildings (\$580K):** The funding increases to the baseline is required in support to the USCP at the Fairchild Building to accommodate an additional 6,000 square feet for relocation of their Office of Information Systems (OIS) office. An additional 7,000 square feet in the Verizon Building is needed to accommodate the expansion of the OIS Radio Shop Services.
- **Suitability Program Increase to Capture the Library of Congress (LOC) Datacenter Staff (\$363K):** This request is to support the requirement made by the LOC to have all personnel entering their datacenters have a Tier 2 background investigation or be escorted. The LOC has directed that all staff entering the LOC datacenters are required to have a Tier 2 background investigation or be escorted. This will require all AOC staff and AOC contractors both on the Capitol Complex and at the Off-Site Facility to have this level of clearance. This amounts to approximately 350 people a year at approximately \$1,000 per person. Currently, AOC does not perform a comparable level of clearance and as such funds are needed to meet this requirement. This will be needed to address cleaning crews, safety and inspection staff as well as general managers.
- **Project Management Support (\$200K):** This request is for a Contract Project Manager to develop and manage critical infrastructure projects related to the offsite facility and other critical operational requirements. The development and the successful completion of projects for critical facility operations, stability and reliability of the redundant power infrastructure, along with creating a certified offsite facility is a priority for the OSP. Additionally, increased client focus on the facility has created a need to address an increasing number of client requests, requiring additional attention and coordination for project management, contract acquisition, and the ability to manage all design and construction projects related to the success of these critical facilities. Based on the need to complete multiple projects related to the offsite facility, the OSP SI Division is requesting a new Contract Project Manager to provide dedicated focus for the design and execution of projects related to this critical infrastructure.
- **Chief Administrative Office (CAO) Mail Monitoring and Screening Services (\$284K):** Additional funding is required for AOC mail monitoring and screening services provided by the U.S. House of Representatives CAO.



Capitol Police Buildings, Grounds and Security

MULTI-YEAR BUDGET REQUEST – PROGRAM SUMMARY

The Capital Budget consists of major construction or system replacement requirements to address fire, life-safety, and security issues; deferred maintenance; capital renewal; capital improvement; capital construction; and necessary studies and designs. It also includes Minor Construction funds that provide jurisdictions with the flexibility to execute projects and respond to unforeseen requirements generated from emergencies, the Members, Committees and other Architect of the Capitol clients.

Multi-Year Budget by Project (\$000)	
	Request Amount
Line Item Construction Program Projects:	
East Plaza Lighting Upgrade & Restoration, USC.....	8,900
Barrier Lifecycle and Security Kiosk Repairs and Replacement, Phase V, CPBG&S.....	8,300
Computer Room Air Conditioning Unit Replacements, OSP.....	5,300
Chiller Replacement and Chilled Water System Expansion, OSP.....	4,700
USCP Conduit Installation, OSP.....	2,900
Resiliency Upgrades, OSP.....	2,400
Total	32,500
Other Projects:	
Minor Construction.....	5,000
Total	5,000
Total Project Request	37,500



Capitol Police Buildings, Grounds and Security

CAPITAL NO-YEAR PROJECTS

No year funding of **\$2,500K** is requested to support the Joint Audible Warning System (JAWS) system which was installed shortly after the 9/11 attacks and the anthrax attacks on the capitol campus. The current system has become obsolete with limited support and hardware available to maintain. The Senate Sergeant at Arms has led a joint effort with the House Sergeant at Arms, the U. S. Capitol Police and the Architect of the Capitol to develop requirements for a replacement warning system. The new system will provide an encrypted, remotely manageable audible warning system with coverage in all areas of the campus. The system will provide transmitter and activation sites, with additional backup systems. This funding will cover the AOC share (25%) of the total JAWS acquisition cost and the initial purchase of annunciators.

Risk and Impact If Not Funded: If not funded, critical communications may not reach AOC personnel, putting their safety at risk to hazards as a result of the emergency. As the JAWS acquisition cost is shared among four participating organizations, failure to fund the AOC portion could jeopardize the entire system for all parties.

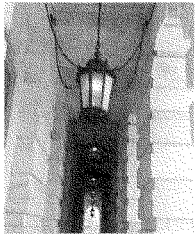
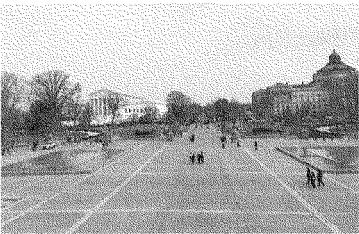
No-Year Projects (\$000)	
	Request Amount
No-Year Construction Projects:	
Joint Audible Warning System (JAWS).....	2,500
Total Project Request	2,500



Capitol Police Buildings, Grounds and Security

Project Title: East Plaza Lighting Upgrade & Restoration, USC

Request: \$8,900K



Project Description (Construction): Inadequate lighting levels at the Capitol East Front have long been a concern. The existing lighting design is a fixed, constant level of illumination with no potential to increase or decrease lighting levels. The historic quality of fixtures and lampposts characterizing the area presents unique requirements and limitations. This project will update fixtures and lighting to appropriate illumination levels, and improve overall lighting conditions on the East Front of the Capitol.

Risk and Impact If Not Funded: If not funded, pedestrian safety will remain at risk during evening and nighttime hours.

- Inadequate lighting levels pose trip hazards.
- Pedestrian safety will be at risk due to uncomfortable glare.

Cost of Recurring Operations: No additional cost anticipated.

Citation Driven: No.

Client Request: Yes.

Risk Assessment: Not required.

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Projected Requirement
Study	168	-	-	-	-	168
Design	-	417	-	-	-	417
Construction	-	-	-	8,900	-	8,900
USCP Overtime	-	-	-	-	-	-
Total	168	417	-	8,900	-	9,485



Capitol Police Buildings, Grounds and Security

Project Title: Barrier Lifecycle and Security Kiosk
Repairs and Replacement, CPBG&S

Request: \$8,300K



Project Description (Design-Build): Many of the campus perimeter security vehicle barriers and kiosks have reached their intended lifecycle. Barriers and kiosks could fail when needed to support U.S. Capitol Police's security mission. This project continues the repair and replacement of barriers and security kiosks.

Risk and Impact If Not Funded: If not funded, there will be an increased risk of security threats and subsequent loss of life.

- If vehicle barriers fail, the Capitol complex facilities will be vulnerable to Vehicle-Borne Improvised Explosive Devices.
- Perimeter security kiosks could fail to protect USCP officers which could lead to loss of life.

Cost of Recurring Operations: No additional cost anticipated.

Citation Driven: No.

Client Request: Yes.

Risk Assessment: Included in request.

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Projected Requirement
Study	-	-	-	-	-	-
Design	399	-	-	-	-	399
Construction (Phase I) ¹	8,300	-	-	-	-	8,300
Construction (Phase II)	8,300	-	-	-	-	8,300
Construction (Phase III)	-	8,300	-	-	-	8,300
Construction (Phase IV)	-	-	8,300	-	-	8,300
Construction (Phase V)	-	-	-	8,300	-	8,300
Future Phases ²	-	-	-	-	53,800	53,800
USCP Overtime	-	-	-	-	-	-
Total	16,999	8,300	8,300	8,300	53,800	95,699

¹Reprogrammed funds from the US House of Representatives in FY 2017.

² Future FY anticipated costs shown are over the next six years; however, additional costs are being developed.



Capitol Police Buildings, Grounds and Security

Project Title: Computer Room Air Conditioning (CRAC) Unit Replacements, OSP

Request: \$5,300K

SECURITY SENSITIVE

Project Description (Design-Build): The building’s HVAC system is comprised of a chilled water plant and dedicated computer room air conditioning (CRAC) units. The CRAC units, which were installed between 2003 and 2005, are past their intended service life and need to be replaced. This project will replace these aging units with dual-use, energy-efficient units. This project will only complete a portion of required work and will entail future funding requests.

Risk and Impact If Not Funded: If not funded, there is greater risk of interruption to daily operations, ultimately affecting AOC’s ability to support our clients.

- Failure of the CRAC units will cause server outages.
- Outages will negatively affect client IT operations and functionality.

Cost of Recurring Operations: No additional cost anticipated.

Citation Driven: No.

Client Request: Yes.

Risk Assessment: Included in request.

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Projected Requirement
Study	-	-	-	-	-	-
Design	53	-	-	-	-	53
Construction	-	-	-	5,300	-	5,300
USCP Overtime	-	-	-	-	-	-
Total	53	-	-	5,300	-	5,353



Capitol Police Buildings, Grounds and Security

Project Title: Chiller Replacement and Chilled Water System Expansion, OSP

Request: \$4,700K

SECURITY SENSITIVE

Project Description (Design-Build): The client data centers are currently supplied with minimum chilled water service. As loads increase and require more cooling, this project will extend chilled water piping to accommodate future loads and provide the necessary resiliency for server reliability.

Risk and Impact If Not Funded: If not funded, there’s an increased risk of the building being unable to carry out its mission.

- Of the existing chillers on site, one has failed and a second has had recent failures, leaving limited redundancy.
- Potential failure could lead to the inability to cool critical infrastructure.
- IT operations will be in jeopardy of a shutdown.

Cost of Recurring Operations: No additional cost anticipated.

Citation Driven: No.

Client Request: No.

Risk Assessment: Not required.

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

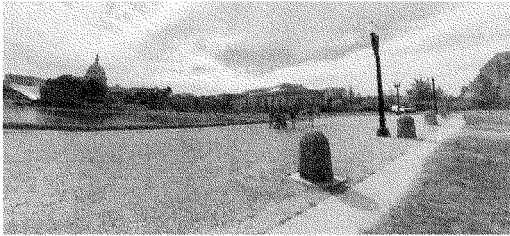
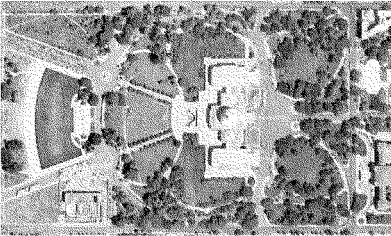
Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Projected Requirement
Study	-	-	-	-	-	-
Design	-	-	-	-	-	-
Construction	-	-	-	4,700	-	4,700
USCP Overtime	-	-	-	-	-	-
Total	-	-	-	4,700	-	4,700



Capitol Police Buildings, Grounds and Security

Project Title: USCP Conduit Installation, OSP

Request: \$2,900K



Project Description (Design-Build): The U.S. Capitol Police (USCP) has conduit routes that are necessary to complete their Vehicle Barrier Hydraulic Pump Unit Cabinet project and to provide additional camera coverage at key areas around the Capitol complex. This project will install the necessary conduits and electrical power and the necessary alarms associated with the Vehicle Barrier cabinets.

Risk and Impact If Not Funded: If not funded, the USCP barrier equipment is at risk of tampering.

Cost of Recurring Operations: No additional cost anticipated.

Citation Driven: No.

Client Request: Yes.

Risk Assessment: Not required.

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Projected Requirement
Study	-	-	-	-	-	-
Design	70	-	-	-	-	70
Construction	-	-	-	2,900	-	2,900
USCP Overtime	-	-	-	-	-	-
Total	70	-	-	2,900	-	2,970



Capitol Police Buildings, Grounds and Security

Project Title: Resiliency Upgrades, OSP Request: \$2,400K

SECURITY SENSITIVE

Project Description (Design): A 2019 Facility Investment Plan stated electrical systems currently in place do not provide the necessary redundancy needed to properly maintain the infrastructure. Various components have exceeded their normal useful life and investments are needed to improve the redundancy, concurrent maintainability, and fault tolerance of critical infrastructure components. This project will develop construction documents to address the various components, which will collectively increase the resiliency of systems, eliminate single points of failure, and achieve a Tier III certification rating per the Uptime Institute.

Risk and Impact If Not Funded: If not funded, there will be an increased risk of power outages and loss of operations.

- Recent utility outages will continue to occur and potentially increase in frequency and magnitude.
- A single point of failure will persist, increasing chances for failure.

Cost of Recurring Operations: No additional cost anticipated.

Citation Driven: No. **Client Request:** Yes. **Risk Assessment:** Included in request.

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Projected Requirement
Study ¹	491	-	-	-	-	491
Design	-	-	-	2,400	-	2,400
Construction	-	-	-	-	-	-
USCP Overtime	-	-	-	-	-	-
Total	491	-	-	2,400	-	2,891

¹Previously completed study



Botanic Garden



AOC MISSION

To **serve** Congress and the Supreme Court, **preserve** America's Capitol, and **inspire** memorable experiences.

RESPONSIBILITIES IN SUPPORT OF AOC MISSION

The United States Botanic Garden (USBG) jurisdiction is responsible for the improvement, operation, care, and maintenance of: the USBG Conservatory; National Garden, Administration Building, Bartholdi Park and Fountain, heritage and other plant collections and the USBG Production Facility at D.C. Village. The USBG is an institution dedicated to demonstrating the economic, therapeutic, ecological, aesthetic and cultural importance of plants. The USBG is one of the leading botanic gardens worldwide that actively participates in the conservation of endangered species by maintaining live plants in their collection, sharing specimens with other collection and research institutions, collecting and studying wild plants and introducing rare plants to the horticultural trade.

The USBG jurisdiction:

- Provides Congress, the nation and the public with a wide range of unique and key professional expertise.
- Provides educational services; botanical and horticulture expertise; plant conservation; and sustainability initiatives.
- Provides public outreach to include: educational collaborative exhibits and publications; public/private partnerships to preserve plants, gardens and landscapes; and educational efforts regarding horticulture, urban agriculture, sustainability and conservation.

For a complete list of USBG facilities, please refer to the "Areas of Responsibility Summary" table in this Budget Request.

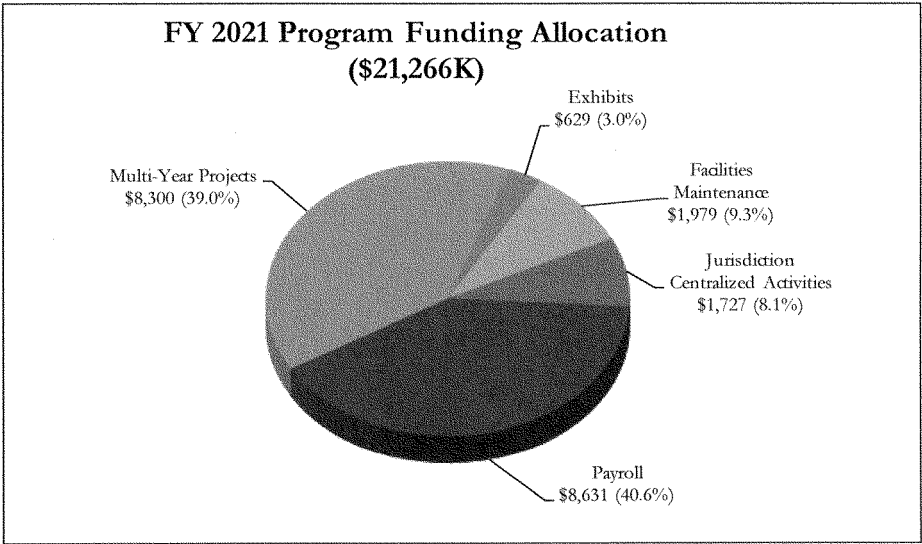


Botanic Garden

PROGRAM SUMMARY

The **Operating Budget** request funds all costs associated with the daily care, maintenance and operation of its facilities. The USBG budget is divided into functional area Program Groups: Exhibits (including seasonal displays); Facilities Maintenance (including horticulture and fine gardening); Jurisdiction Centralized Activities (including education, collaborations, partnerships and outreach), and Payroll.

The **Multi-Year Projects Budget** request consists of major construction or system replacement requirements to address fire, life-safety, security issues, ADA and other accessibility requirements; deferred maintenance; capital renewal; capital improvement; and capital construction. The Multi-Year budgets allows for all necessary studies and designs, with a focus on energy savings, plant health and display and accessibility. It includes Minor Construction funds that provide jurisdictions with the flexibility to respond to unforeseen requirements as generated from emergencies, special events or demonstrations, Member requests, Committee directives and other AOC clients.





Botanic Garden

AREAS OF RESPONSIBILITY SUMMARY:

ASSIGNED FACILITIES

Facility Name/Type	Location	Year Built or Acquired	Area (square feet)	Deferred Maintenance (\$000)	Capital Renewal (\$000)	Backlog (\$000)
Administration Building	Washington, DC	1931	3,788	-	-	-
Bartholdi Park and Fountain	Washington, DC	1932	96,726	-	-	-
Conservatory	Washington, DC	1933	106,335	\$4,344	\$2,825	\$7,169
Production Facility Greenhouse & Headhouse	Washington, DC	1993	117,930	\$78	\$5,080	\$5,158
Production Facility Lath House	Washington, DC	1994	4,760	-	\$143	\$143
Production Facility Pesticide Storage	Washington, DC	1994	450	-	\$7	\$7
Storage Building*	Washington, DC	2017	5,021	-	-	-
Production Facility Grounds	Washington, DC	2000	Varies	-	-	-
			335,010	\$4,422	\$8,055	\$12,477

Notes:

Deferred Maintenance: is defined as maintenance, repair or replacement work on existing facilities and infrastructure that is past due causing failure or partial failure.

Capital Renewal: is defined as replacement in kind to correct unacceptable conditions caused by aged building components prior to failure.

Backlog: equals total Deferred Maintenance plus Capital Renewal expected to become Deferred Maintenance within a five year window.

*Storage Building: a facility condition assessment has not yet been completed.



Botanic Garden

TOTAL BUDGET REQUEST – FUNDING SUMMARY

Total Budget (\$000)				
Appropriation	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
Operating Budget	11,200	12,094	12,966	872
Multi-Year Projects	3,559	4,000	8,300	4,300
Total	14,759	16,094	21,266	5,172

Operating Budget (\$000)				
Program Groups	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
Exhibits	595	760	629	(131)
Facilities Maintenance	1,742	1,784	1,979	195
Jurisdiction Centralized Activities	1,446	1,684	1,727	43
Payroll	7,417	7,866	8,631	765
Total	11,200	12,094	12,966	872

Total Budget by Object Class (\$000)				
Object Class Groups	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
11 Personnel Compensation	4,982	5,283	5,797	514
12 Personnel Benefits	2,435	2,583	2,834	251
21 Travel	71	71	72	1
22 Transportation of Things	-	-	-	-
23 Rent, Communications & Utilities	-	-	-	-
24 Printing and Reproduction	-	-	-	-
25 Other Contractual Services	4,615	4,661	7,231	2,570
26 Supplies and Materials	730	1,148	1,256	108
31 Equipment	41	86	90	4
32 Land and Structures	1,885	2,262	3,985	1,723
42 Insurance Claims & Indemnities	-	-	-	-
Total	14,759	16,094	21,266	5,172

Botanic Garden



TOTAL BUDGET REQUEST - ANALYSIS OF CHANGE

	FY 2021 Appropriation	
	FTE	Amount (\$000)
FY 2020 Enacted		16,094
Payroll Funded FTEs	69	
Non-Recurring Costs		
Exhibits Program		(150)
Minor Construction (FY 2020 Enacted).....		(4,000)
Total Program Decreases	-	(4,150)
Price Changes:		
Payroll Related:		
FY 2021 FERS Employer Contribution Rate Increase.....		89
FY 2021 Cost-of-Living Adjustment of 3.0%*		173
FY 2021 FEHB Employer Contribution of 3.2%.....		18
FY 2021 Within Grade Increase.....		56
Total Payroll Related Costs	-	336
Non-Payroll Related:		
FY 2021 Non-pay Inflation Increase of 2.5%.....		107
Total Non-Payroll Related Costs	-	107
Total Current Services	-	12,387
Program Increases:		
Annual Program Increases:		
Payroll FTE Increase for BG Mission Support.....	3	429
Facilities Maintenance Program.....		150
Total Annual Program Increases	3	579
Multi-Year Projects:		
Production Facility Renewal, BGDC.....		4,300
Minor Construction.....		4,000
Total Program Increases	3	8,879
Net Increase/Decrease	3	5,172
FY 2021 Total Appropriation	72	21,266

*Incorporated in the FY 2021 Cost-of-Living Adjustment is a 2.5% pay raise (\$144K) and a locality pay area adjustment of .5% (\$29K)



Botanic Garden

OPERATING BUDGET REQUEST - SUMMARY OF CHANGES

The Operating Budget of the USBG appropriation funds all costs associated with the daily care, maintenance and operation of its grounds and facilities. The budget is divided into functional area Program Groups. In accordance with sound financial management practices, these Program Groups are reviewed and adjusted to reflect changing program and pricing needs. Increases that cannot be absorbed are requested through the budget process.

Operating Program (\$000)						
Program Groups	FY 2020 Enacted	Program Realignment/ Transfers/ Non-Recurring	Price Increases	Program Increases	FY 2021 Request	FY 2020/2021 Difference
Exhibits	760	(150)	19	-	629	(131)
Facilities Maintenance	1,784	-	45	150	1,979	195
Jurisdiction Centralized Activities	1,684	-	43	-	1,727	43
Payroll	7,866	-	336	429	8,631	765
Total	12,094	(150)	443	579	12,966	872

Program Changes Justification

The Fiscal Year (FY) 2021 Operating Budget Request shows an increase of **\$872K** from the FY 2020 Enacted level. It includes **\$443K** in price increases and **\$579K** in program increases.

Price Increases

The funding increase to the baseline includes the inflationary cost for pay and non-pay programs based upon guidance from the Congressional Budget Office.

Non-Recurring

The decreased funding of **(\$150K)** reflects the one-time cost associated with the Botanic Garden's 200th anniversary year.

Program Increases

Facilities Maintenance (\$150K)

The Facilities Maintenance increase is needed to account for growing costs associated with maintenance. Urgent work is frequently done in response to issues with the aging facilities. In particular, the heating, plumbing and environmental controls systems have components that frequently fail with little notice. For example, greenhouse vent arms and gears deteriorate over time and need to be repaired or replaced as they begin to fail.

Payroll (\$429K)

The payroll program increase allows the USBG to hire three additional Full Time Equivalents (FTEs) to meet increased workload requirements. This includes an External Education Specialist, a Gardener, and a Scientific Opportunities Coordinator. The addition of an External Education Specialist allows the USBG to increase external outreach and expand community engagement with underrepresented communities while also meeting increasing on-site education demands. The Gardener position will be necessary to support sustainability research on the newly installed green roof on the Conservatory and to fully implement the recently launched urban agriculture initiative. The third request pertains to the Scientific Opportunities Coordinator. This position will enable the USBG to form a formal, year-round, internship program for aspiring scientists and Science, Technology, Engineering and Mathematics (STEM) educators as well as to host visiting plant scientists, postdoctoral researchers, and students to increase the USBG's educational impact.



Botanic Garden

MULTI-YEAR BUDGET REQUEST – PROGRAM SUMMARY

The Capital Budget consists of major construction or system replacement requirements to address fire, life safety and security issues; deferred maintenance; capital renewal; capital improvement; capital construction; and necessary studies and designs; with a focus on energy savings. It also includes Minor Construction funds that provide the USBG with the flexibility to respond to emergencies, conduct urgent repairs, and address unanticipated facility conditions and safety or accessibility issues, as well as minor upgrades and renovations.

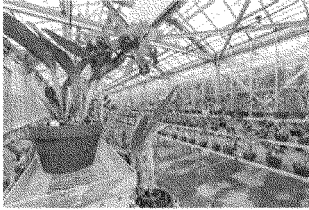
Multi-Year Budget by Project (\$000)	
	Request Amount
Line Item Construction Program Projects:	
Production Facility Renewal, BGDC.....	4,300
Total	4,300
Other Projects:	
Minor Construction.....	4,000
Total	4,000
Total Project Request	8,300



Botanic Garden

Project Title: Production Facility Renewal, BGDC

Request: \$4,300K



Project Description (Design): The Botanic Garden Production Facility houses all of the USBG collection plants not currently on display, including many endangered species, and supports propagation activities for seasonal displays and educational exhibits. The existing 26-year old greenhouse complex has poorly configured ventilation and is nearing the end of its useful life. In addition, the absence of a fall protection system on the greenhouse complex places employees at great risk when accessing the roof to clean and replace glass panes. A newly renovated greenhouse facility incorporating the latest in greenhouse technologies would address the above deficiencies and achieve significant gains in energy efficiency and sustainability. The USBG also requires a quarantine greenhouse to isolate incoming plants until they are determined to be pest- and disease-free. A recently completed master plan identified an improved layout for greenhouse ventilation, locations for the quarantine greenhouse as well as an education center and urban farm, and where functions could be consolidated or relocated to improve sustainability, efficiency and workflow on the site. This project will complete the design for the renovations, new construction and sustainability improvements outlined in the Master Plan.

Risk and Impact If Not Funded: If not funded, the facility will continue to deteriorate, posing life safety risks and jeopardizing execution of the Botanic Garden’s mission.

- Without adequate fall protection equipment, maintenance workers will remain at great risk during routine cleanings and inspections.
- Improved facilities are required to maintain the USBG’s rare and irreplaceable plant collections, achieve critical sustainability improvements, and support new mission requirements.

Cost of Recurring Operations: No additional cost anticipated.

Citation Driven: No.

Client Request: No.

Risk Assessment: Included in request.

Funding Overview (\$000): The following chart summarizes the total projected funding requirement for the project. The amounts listed for individual project tasks are based on estimates and may be adjusted as the project proceeds.

Task	Prior FY Funded	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Future FY Anticipated	Total Projected Requirement
Study	-	-	-	-	-	-
Design (POR and Master Plan)	1,954	-	-	-	-	1,954
Design	-	-	-	4,300	-	4,300
Construction (All Phases) ¹	-	-	-	-	90,000	90,000
USCP Overtime	-	-	-	-	-	-
Total	1,954	-	-	4,300	90,000	96,254

¹ Rough order of magnitude construction cost is based upon the completed Production Facility Master Plan.



Capitol Visitor Center



AOC MISSION

To **serve** Congress and the Supreme Court, **preserve** America's Capitol, and **inspire** memorable experiences.

RESPONSIBILITIES IN SUPPORT OF AOC MISSION

The Capitol Visitor Center's (CVC) mission is "Working together for Congress to inform, involve and inspire every visitor to the United States Capitol." This statement conveys the CVC's goal to provide a welcoming and educational environment for visitors to learn about the House, the Senate and the legislative process, and the history of the art and architecture of the U.S. Capitol.

The CVC team works each day to fulfill the vision of "Preserving democracy one visitor at a time." Through inspiring tours, films, educational programs, online engagement, and the presentation of noteworthy documents and artifacts, the CVC works to stimulate discussions of the privileges and responsibilities of citizenship in a representative democracy to celebrate the role that Congress plays in the daily lives of American citizens.

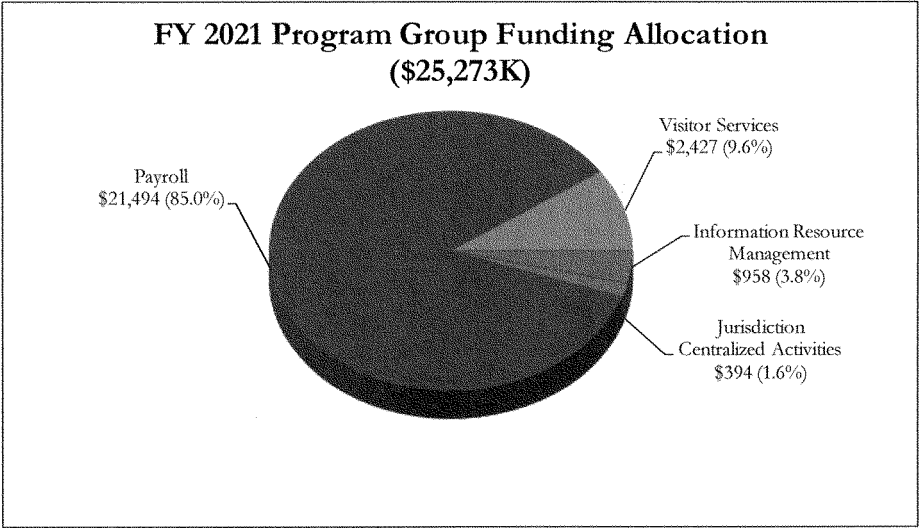
Designed as the visitor's gateway to the historic U.S. Capitol, the CVC also features convenient amenities to serve visitor needs including the Capitol Cafe, two Gift Shops, and two Information Desks, all of which are managed by a professional staff dedicated to delivering world-class service to the congressional community and the public. Since opening in December 2008, the CVC has welcomed almost 24 million people from around the country and the world.



Capitol Visitor Center

PROGRAM SUMMARY:

The **Operating Budget** for the Capitol Visitor Center (CVC) appropriation funds all costs associated with the daily care, maintenance and operation of the CVC in support of congressional operations. The CVC provides direct support to ensure efficient operations and maintenance of its facilities. The CVC operating budget is divided into functional area Program Groups: Payroll, Visitor Services, Information Resource Management, and Jurisdiction Centralized Activities.





Capitol Visitor Center

TOTAL BUDGET REQUEST – FUNDING SUMMARY

Total Budget (\$000)				
Appropriation	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
Operating Budget	23,322	24,321	25,273	952
Multi-Year Projects	-	-	-	-
Total	23,322	24,321	25,273	952

Operating Budget (\$000)				
Program Groups	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
Exhibits	230	-	-	-
Furniture & Furnishings	-	50	-	(50)
Information Resource Management	864	1,134	958	(176)
Jurisdiction Centralized Activities	375	384	394	10
Payroll	20,230	20,417	21,494	1,077
Visitor Services	1,623	2,336	2,427	91
Total	23,322	24,321	25,273	952

Total Budget by Object Class (\$000)				
Object Class Groups	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Difference
11 Personnel Compensation	14,207	14,338	15,094	756
12 Personnel Benefits	6,023	6,079	6,400	321
21 Travel	80	112	113	1
22 Transportation of Things	-	-	-	-
23 Rent, Communications & Utilities	-	-	-	-
24 Printing and Reproduction	59	104	105	1
25 Other Contractual Services	2,081	2,668	2,603	(65)
26 Supplies and Materials	84	306	307	1
31 Equipment	789	714	650	(64)
32 Land and Structures	-	-	-	-
42 Insurance Claims & Indemnities	-	-	-	-
Total	23,322	24,321	25,273	952



Capitol Visitor Center

TOTAL BUDGET REQUEST — ANALYSIS OF CHANGE

	FY 2021 Appropriation	
	FTE	Amount (\$000)
FY 2020 Enacted		24,321
Payroll Funded FTEs	223	
Non-Recurring Costs:		
Visitor Services.....		(305)
Information Resource Management.....		(200)
Furniture & Furnishings.....		(50)
Total Program Decreases	-	(555)
Price Changes:		
Payroll Related:		
FY 2021 FERS Employer Contribution Rate Increase.....		230
FY 2021 Cost-of-Living Adjustment of 3.0%*.....		498
FY 2021 FEHB Employer Contribution of 3.2%.....		43
FY 2021 Within Grade Increase.....		157
Total Payroll Related Costs	-	928
Non-Payroll Related:		
FY 2021 Non-pay Inflation Increase of 2.5%.....		85
Total Non-Payroll Related Costs	-	85
Total Current Services	-	24,779
Program Increases:		
Annual Program Increases:		
Exhibition Hall FTE Increase.....	1	149
Visitor Services		345
Total Annual Program Increases	1	494
Net Increase/Decrease	1	952
FY 2021 Total Appropriation	224	25,273

* Incorporated in the FY 2021 Cost-of-Living Adjustment is a 2.5% pay raise (\$415K) and a locality pay area adjustment of .5% (\$83K)



Capitol Visitor Center

OPERATING BUDGET REQUEST - SUMMARY OF CHANGES

The Operating Budget of the Capitol Visitor Center (CVC) funds all costs associated with the operation and administration of the CVC. The budget is divided into functional area Program Groups. In accordance with sound financial management practices, these Program Groups are reviewed and adjusted to reflect changing program and pricing needs. Increases that cannot be absorbed are requested through the budget process.

Operating Budget (\$000)						
Program Groups	FY 2020 Enacted	Program Realignment/ Transfers/ Non-Recurring	Price Increases	Program Increases	FY 2021 Request	FY 2020/2021 Difference
Exhibits	-	-	-	-	-	-
Furniture & Furnishings	50	(50)	-	-	-	(50)
Information Resource Management	1,134	(200)	24	-	958	(176)
Jurisdiction Centralized Activities	384	-	10	-	394	10
Payroll	20,417	-	928	149	21,494	1,077
Visitor Services	2,336	(305)	51	345	2,427	91
Total	24,321	(555)	1,013	494	25,273	952

Program Changes Justification

The Fiscal Year (FY) 2021 Operating Budget Request shows an increase of **\$952K** from the FY 2020 Enacted level. It includes **\$1,013K** in price increases and **\$494K** in program increases.

Price Increases

The funding increase to the baseline includes inflationary costs for pay and non-pay programs, as based upon guidance from the Congressional Budget Office.

Non-Recurring

The decrease funding of **(\$555K)** reflects program increases that were enacted in FY 2020 as a one-time request.

Program Increases

Payroll (1 FTE; \$149K)

The funding increase to the baseline is for one Full-Time Equivalent (FTE) for an Assistant Exhibits Program Manager to support the redesign of the CVC Exhibition Hall. The CVC's overarching goal for the redesign of Exhibition Hall centers on helping visitors understand Congress and its role in everyday life and the notion of "We the People." We hope that by designing a more engaging environment in Exhibition Hall, visitors will become more involved in our nation's democratic process. One critical element of the redesign is the creation of a new Special Exhibits Gallery that roughly doubles the square footage available for temporary exhibits. Along with an increase in display area comes an increase in the amount and complexity of the content. Add to that the need to stay relevant by offering an ever-increasing variety of digital interactives, videos, and audio and it becomes clear that these demands exceed current resources. Hiring an Assistant Exhibits Program Manager will allow the CVC to develop fully this exciting new exhibits space, and allow us to be effective in carrying out our congressionally mandated educational mission. Hiring this permanent staff member further will allow the CVC to gradually reduce its reliance on contracted researchers and writers and ensure better quality control over the sensitive work of telling the story of Congress. This new position will be able to work more closely and effectively with important stakeholders, including the House, Senate, and AOC historical and curatorial offices. The Exhibition Hall Redesign Project has clearly identified the risks associated with reliance on contractors to do this important coordination and collaboration with our congressional partners.



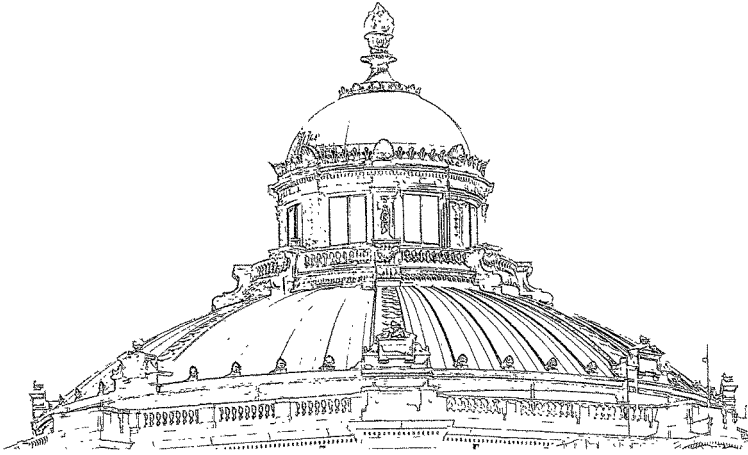
Capitol Visitor Center

OPERATING BUDGET REQUEST (continued)

CYC Operations Support (VS) (\$345K)

- **Special Exhibits (\$130K):** One of the CVC's goals is to educate visitors about the role of Congress and its impact on their daily lives. The newly redesigned Exhibition Hall includes a 2,000 square foot separate gallery for changing special exhibits. This gallery more than doubles the display area available for special exhibits over the previous design of Exhibition Hall. The new space includes much greater flexibility, providing the opportunity to mount special exhibits of greater complexity and variety. This funding request will cover the additional costs associated with mounting these much larger, enhanced special exhibits.
- **Native American AR/VR Mixed Reality App Development (\$110K):** This funding will develop a new augmented, virtual, and mixed reality focused on Native American representations in the Capitol. In keeping with congressional requests, this new AR/VR experience will better tell the history and background of the depictions of Native Americans in the Capitol. This experience will also celebrate the contributions of some of the individuals represented in the Capitol Collection and elsewhere in the Capitol building. We would develop this new offering based on visitor feedback to rapid prototype options. It could include providing factual context to some of the 19th century artistic depictions of Native Americans, provide imagery and information relevant to the Native American cultures of members of the Capitol Collection, and otherwise enhance the visitor experience in understanding the role of Native Americans in our nation's history.
- **Exhibition Hall Print Material (\$100K):** The reopening of Exhibition Hall in FY 2021 will require a major rewriting and new printing of the CVC's main materials for public distribution. This material includes our visitor guide and tour follow-along handouts. There is a significant one-time cost associated with translating all of these new editions into 13 languages. We have committed to making this material available to non-English speakers as well as making them available in large print and in braille. This funding will allow us to provide visitors with accurate, up-to-date information about the redesigned Exhibition Hall as well as make other updates and necessary changes to what in some cases are decade-old copy. This is a significant opportunity to enhance the quality of information provided to visitors. It will also help our staff in guiding visitors effectively by ensuring a consistent and up to date set of messages. Translations and accessible formats also respond to stated congressional desire to have these materials readily available.
- **Remote Assistance for the Blind (\$5K):** The CVC requests funding to provide improved services to blind and low vision individuals. The CVC is exploring technology to connect people who are blind or have low vision to highly trained, remotely located agents. This supports congressional requests for the CVC to explore such technology. All Smithsonian museums in Washington, D.C., and the National Zoo currently have this capability. Visitors would download an app to their smartphone (at no cost to the user) and be connected to sighted live agents who can see what is near the user. The agent then helps the visitor navigate the area. This technology provides blind and low vision visitors descriptions of the art and architecture on display at the CVC, enhancing their experience and advancing accessibility goals.

LIBRARY OF CONGRESS
FISCAL 2021 BUDGET JUSTIFICATION
SUBMITTED FOR USE OF THE COMMITTEES ON APPROPRIATIONS



LIBRARY
LIBRARY OF CONGRESS



Provided by Brian Williams

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LIBRARY OF CONGRESS OVERVIEW

FISCAL 2021

The Library of Congress is submitting its fiscal 2021 appropriations request in alignment with the strategic goals set forth in the fiscal 2019-2023 Strategic Plan. Expand access, enhance services, optimize resources, and measure impact. A recently released implementation roadmap serves as a guide to monitor and evaluate progress — and ultimately achieve — the four strategic goals.

With significant congressional support, the Library has moved forward in the past several years to modernize and optimize its operations in ways that fulfill the strategic goals and direction. The Congressional Research Service's (CRS's) next-generation Integrated Research and Information System (IRIS), for example, is well underway. A U.S. Copyright Office (USCO) Recordation system, replacing the existing paper-based process, will be pilot tested in spring 2020 as part of copyright IT modernization efforts. IT centralization is now complete under the Office of the Chief Information Officer (OCIO). The Library is on schedule to complete the Data Center Transformation project in fiscal 2020, transitioning data center operations from the aging primary data center in the Madison Building to a hybrid-hosting model. The new hosting model will ensure that the Library has a secure, flexible, efficient and stable foundation for its technology needs for the next generation.

Modernization advancements extend beyond IT systems. Replacement of the second of four quadrants of Law Library shelving, installed in 1981 and now nearly unusable, is complete, with replacement for the third quadrant (Quad B) requested in fiscal 2021. Storage modules at Ft. Meade are providing a 21st century, environmentally optimized, lower cost way to preserve more physical collections. The Library's world-class preservation experts have examined their preservation activities and we are recommending rebalancing our preservation strategies. Master planning for the Visitor Experience, now underway, will incorporate state-of-the-art audiovisual and interactive elements to capture the interest of contemporary audiences. The Center on Exhibits and Interpretation and the Center on Learning, Literacy and Engagement, created last year, are bringing innovation to the way the Library connects to users, physically and digitally. In another example, even the name change for the NLS, now known as the National Library Service for the Blind and Print Disabled, replaces outdated language and reflects modernization in the ways NLS serves its users.

Organizational changes that support modernization and optimization are now in place. In fiscal 2020, the Library Collections and Services Group was established as a PPA (Program, Project, or Activity) bringing into better alignment the "library" components — Library Services, the Law Library, and the NLS, along with the John W. Kluge Center and the Intern and Fellowship Program. Each unit remains distinct, but the grouping leverages expertise and processes across the organizations, creating economies of scale and strengthening collaboration and a coordinated vision.

The 2021 Congressional Budget Justification continues a sequence of strategically planned modernization efforts of all types across the enterprise. Specific advances and initiatives in this budget request are:

Science and Technology Research Capacity (\$1.933 million/12 FTE)

- Increase the depth and breadth of CRS's capacity to provide research and policy analysis on current and emerging legislative issues related to science and technology, including cybersecurity, natural resources, renewable fuels, climate change, and federal uses and oversight of science and technology, among others. Recommended in a National Academy of Public Administration study, conducted as directed in conference report HR 115-929, the added expertise will allow CRS to meet the growing need of Congress for timely, complex, and multidisciplinary analysis of policy issues related to these rapidly changing technologies, the role of the federal government, and the effects of federal policies across all sectors.

Rebalancing Preservation Strategies (\$0.000 million)

- Realign \$5.5 million in preservation program funding that currently support mass methods and assign those funds to other approaches to address the 21st century challenges presented by the Library's diverse and growing holdings, including the exponential growth in digital collections. Mass deacidification methods, developed in the late 1980s, will have reached the significant milestone of having treated 90 percent of our top-priority materials by the end of fiscal 2020. Today, however, mass deacidification methods cost 2.8 times more than environmentally optimized storage, which has comparable preservation outcomes for a much wider range of materials. New methods are now available to address an old problem — the varied types of damage and deterioration that occur over the lifecycle of the Library's

expansive, multi-format collections. The request dedicates \$2.5 million to preservation needs in the physical collections that mass deacidification cannot address, including conservation of the Library's most significant artifacts and reformatting of fragile and irreplaceable items. A further \$3 million in realigned funding will support the content management and information technology infrastructure necessary to preserve the digital collections.

Law Library Replacement Shelving (\$4.370 million available over four years)

- Replace and upgrade, over four years, compact shelving in Quad B, the third of four quadrants housing the Law Library's collections in the Madison Building subbasement. Installed in 1981, the existing shelving is well past its 25-year lifespan. Although the moveable shelving was retrofitted in 2001/2002 with a hand-crank system, the shelving has become misaligned and unstable, and some rows are now too narrow for staff to enter. There are no replacement parts. New, state-of-the-art shelving for Quad B will address personnel safety issues, allow access to the materials on the misaligned ranges, and free up storage space by replacing units that are now unusable. The shelving houses the world's largest and most comprehensive collection of international, foreign, national, and comparative legal resources occupying the equivalent of 15 football fields.

Automated Records Management (\$1.861 million/2 FTE)

\$1.193 million non-recurs in fiscal 2024.

- Acquire, implement and maintain an electronic records management system (ERMS) to manage the archiving of all Library of Congress permanent records digitally. As mandated under the updated Federal Records Act and the 2018 Government Reform Plan, after 2022, The National Archives and Records Administration (NARA) will no longer accept paper records from federal agencies. The Library has thousands of linear feet of hard copy records and terabytes of digital records stored throughout the agency, containing an array of temporary, permanent, and vital records. The ERMS will centralize and automate records creation, storage, and disposition for key offices in the Library, including the Office of the Librarian and the Office of the General Counsel. An ERMS will also allow the Library to meet GSA standards for electronic records management solutions and Universal Electronic Records Management Requirements from NARA.

eAcquisition and Contract Management (\$1.379 million)

\$295,000 non-recurs in fiscal 2022.

- Streamline and modernize the Library's contracting processes and workflow by replacing the current paper-based system with a central electronic repository. Hard copy contract folders are currently stored and only accessible in the Contracts and Grants Directorate. An eAcquisition solution will make easily searchable records accessible by all parties, not only by contracting officers but also by legal counsel, and contracting officer's representatives (CORs), financial management staff and project managers in the service units. eAcquisition will also allow service unit staff to develop acquisition packages electronically rather than manually. An eAcquisition application will leverage the core technologies of digitization, document management, and data visualization to reduce manual labor, streamline business processes, and employ data-driven analysis for more efficient and effective acquisition planning and execution.

Copyright Fee Realignment (shift in spending authority)

- Request to shift USCO Copyright Basic budget authority from offsetting collections to increased net discretionary appropriations totaling \$4,214 million due to a projected user fee collections shortfall in fiscal 2021. The shortfall, which is projected to occur beyond fiscal 2021, is the result of the passage of the Music Modernization Act of 2018 (MMA), which drastically reduced the volume of filings of Notices of Intention (NOI) to make and distribute phonorecords under 17 U.S.C. § 115. In fiscal 2019, USCO experienced an annual collections shortfall of \$4,214 million, which reduced the Copyright Basic obligational authority by that amount. USCO is closely monitoring the pace of collections to further its understanding of the full impact of MMA implementation and any price structure changes.

Copyright Royalty Judges Staffing (\$0.865 million/3 FTE)

- Increase staffing with an economist and two paralegals to assist with increased workload generated by the Music Modernization Act of 2018 (MMA) which assigned additional responsibilities to the Copyright Royalty Judges (CRJ) program. Additionally CRJ has experienced increases in the numbers of cases requiring adjudication, as well as the complexity of those cases. Additions to CRJ staff, previously restricted, are now possible through a legislative provision in the fiscal 2020 enacted appropriations bill that removed the statutory FTE cap on CRJ support staff from U.S.C. Title 17.

Music Modernization Act (MMA) Staffing (\$0.711 million/3 FTE)

- Provide staffing to implement the requirements of the MMA to engage in public education and other outreach activities to inform interested members of the public and songwriters about the process by which a copyright owner may claim ownership of musical works before the “mechanical licensing collective” is created under the MMA. A supervisory public affairs specialist, and attorney-advisor, and a paralegal will conduct educational programs, provide materials at conferences and music events, develop written materials and content for the Copyright Office web site, and create online tutorials and webinars.

Paid Internship Program (\$0.899 million/1 FTE)

- Increase the number of paid vs. unpaid internship opportunities to provide access to a broader and more inclusive talent pool reflecting wider socioeconomic status. The request aligns with Congress’ intent to increase paid internship programs on Capitol Hill as well as a national trend to reduce or eliminate unpaid internships. Library internship programs provide valuable experiential learning and career development opportunities for students, recent graduates and scholars. Currently, unpaid internships average 200, almost double the number of paid internships the Library is able to offer. The request includes permanent funding for 38 interns under the Library’s signature, visible Junior Fellows Program, which has been primarily supported in the past by non-appropriated funds, and is now highly dependent on the sustenance of those greatly diminished funds. Since the inception of the program, Junior Fellows have identified hundreds of historical, literary, artistic, cinematic and musical gems from the Library’s collections.

Cybersecurity Enhancements (\$3.925 million)

\$2.519 million non-recurs in fiscal 2022.

- Implement cybersecurity enhancements to protect congressional and other digital high-value assets, including sensitive information from CRS, the Law Library, and the USCO. The cyber threat to the Library and legislative branch data has escalated steadily over the last decade, with increasingly complex attacks regularly identified and prevented. The request will help the Library stay ahead of the growing sophistication of the most advanced and persistent threats by maintaining and maturing a comprehensive suite of cybersecurity tools and training. Cybersecurity has been designated a top priority by Library leadership and congressional oversight. The Library has been working with the Legislative Branch Cyber Security Working Group, which includes staff from the House of Representatives and Senate, to establish and implement additional cybersecurity best practices and shared threat intelligence and mitigation.

Personnel Security Case Management System re-request (\$1.106 million)

\$763,000 non-recurs in fiscal 2022 and \$75,000 in fiscal 2024.

- Automate and streamline the existing manual process used by the Library to perform personnel security functions. A new commercial-off-the-shelf system will support the entire lifecycle of the Library’s personal security management functions including capturing data related to all aspects of pre-appointments, suitability determinations, security clearance processing, briefings, foreign travel, foreign contacts and other relevant data points of interest. The Personnel Security Division annually initiates over 600 full background investigations and reviews nearly 1,300 criminal/credit checks.

Customer Relationship Management Solution re-request (\$1.25 million)

\$400,000 non-recurs in fiscal 2022 and \$600,000 in fiscal 2023.

- Implement an enterprise-wide Customer Relationship Management (CRM) solution, an approach to ensuring the most efficient management of the critical relationships between the Library and current and future users and stakeholders. Current manual methods, primarily spreadsheets, are often outdated and suffer from a lack of quality control. The CRM service will enable Library staff to efficiently manage contact and engagement information and improve relationships with users and stakeholders. An enterprise CRM will connect Library user information end-to-end with minimal IT involvement and set a path for sharing information and services, better service to their customers and greater user satisfaction.

Workstation Centralization Support request (\$0.058 million)

- Provide workstations, including laptops, for the fiscal 2021 FTE requested as part of the centralized consistent approach to workstation procurement under OCIO. Robust, centralized procurement will maintain an average age of four or five years for each workstation and provide upgrades with the latest technologies to increase productivity. Centralization also improves workstation management and accountability.

Library User Data Strategy re-request (\$1.134 million/2 FTE)

\$523,000 will non-recur in fiscal 2022 and \$261,000 in fiscal 2023.

- Establish a robust data and analytics capability; with processes, methodologies, and subject matter expertise needed to consistently and strategically identify, capture, analyze, and make decisions on data from its users' needs and quality of experiences, in alignment with the Library's strategic plan. A user data strategy will be developed to guide its approach to data and analytics programs moving forward, and select data and analytics pilot projects will be executed based on the strategy. A permanent Data & Analytics team will be created to support all Library units in design and execution of user data strategy projects.

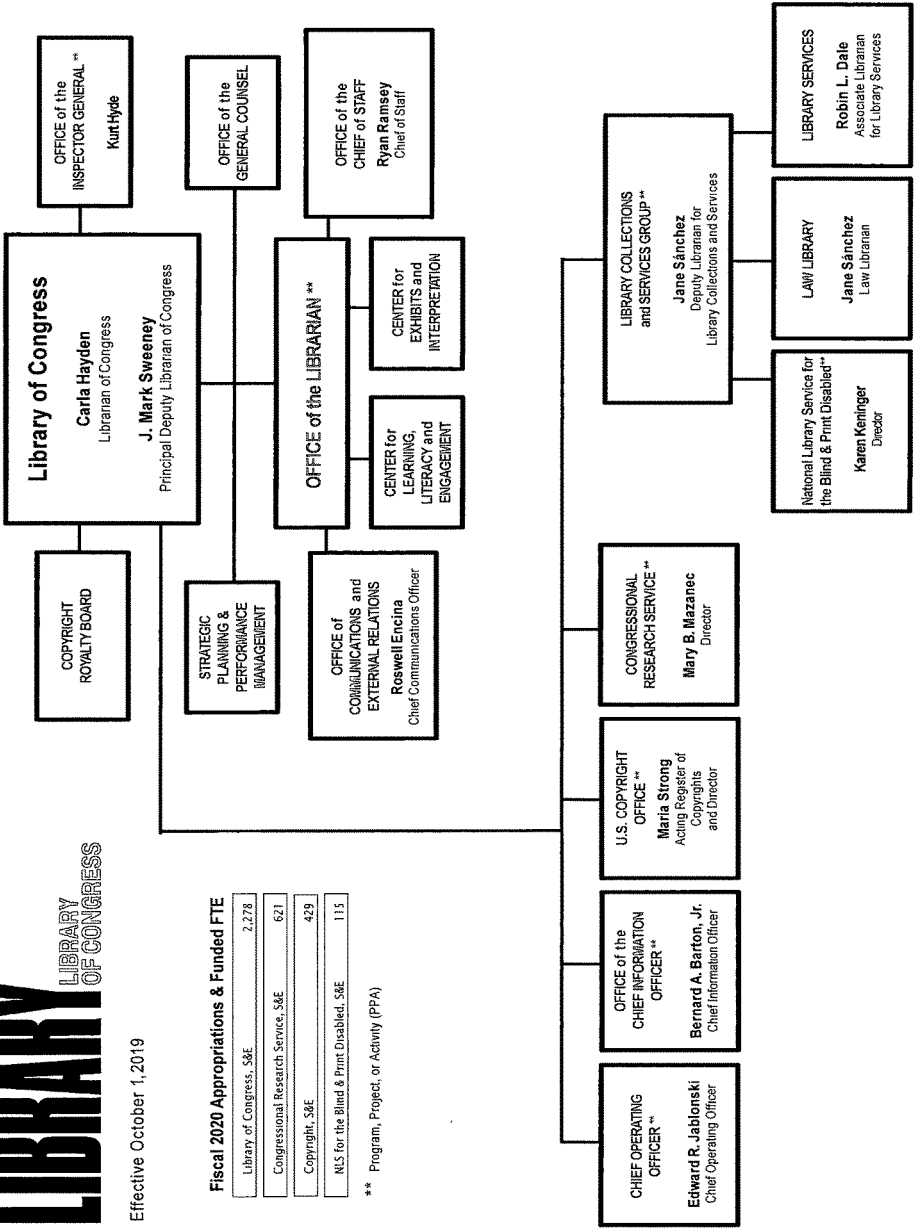
In closing, the fiscal 2021 budget request reflects a set of priorities that necessarily guide the Library's service into the future. In a time of extraordinary change, in technology and in society, the Library has a responsibility to preserve and use its resources for the greatest benefit now and for those who will come after us. Our request to rebalance the Library's preservation program reflects the need to be good stewards of both the Library's collections and the taxpayers' dollars. All of these requests further the modernization efforts of recent years as well as expand access, in person and digitally, to the remarkable assets assembled by this country, with the consistent support of the Congress, since 1800.

Effective October 1, 2019

Fiscal 2020 Appropriations & Funded FTE

Library of Congress, S&E	2,278
Congressional Research Service, S&E	621
Copyright, S&E	429
NLS for the Blind & Print Disabled, S&E	113

*** Program, Project, or Activity (PPA)



Organization Chart

SUMMARY TABLES

LIBRARY OF CONGRESS

Library of Congress Resource Summary (Dollars in Thousands)											
Appropriation/PPA	Fiscal 2019				Fiscal 2020 Enacted Budget		Fiscal 2021		Fiscal 2020/2021 Net Change		Percent Change
	Operating Plan		Actual Obligations				Request Total				
	Funded FTE	\$	FTE Usage	\$	Funded FTE	\$	Funded FTE	\$	Funded FTE	\$	
Library of Congress, S&E											
Office of the Librarian	203	\$ 42,914	189	\$ 38,709	197	\$ 50,292	199	\$ 53,605	2	\$ 3,313	6.6%
Office of the Chief Operating Officer	285	78,021	250	82,818	293	82,274	293	88,229	0	5,955	7.2%
Library Collections and Services Group	0	0	0	0	1,413	241,294	1,414	259,643	1	18,349	7.6%
Office of the Chief Information Officer	289	117,528	282	113,120	361	126,314	363	138,902	2	12,588	10.0%
Library Services	1,314	220,900	1,227	217,256	0	0	0	0	0	0	0.0%
Law Library	88	17,343	86	17,145	0	0	0	0	0	0	0.0%
Office of the Inspector General	14	3,346	12	3,362	14	3,991	14	4,203	0	212	5.3%
Total Budget, LC, S&E	2,193	\$ 480,052	2,047	\$ 472,210	2,278	\$ 504,164	2,283	\$ 544,582	5	\$ 40,418	8.0%
Cataloging Distribution Services		(6,000)				(6,000)		(6,000)		0	0.0%
Total Appropriation, LC, S&E	2,193	\$ 474,052	2,047	\$ 472,210	2,278	\$ 498,164	2,283	\$ 538,582	5	\$ 40,418	8.1%
Copyright Office, S&E											
COP Basic	400	\$ 85,823	395	\$ 71,907	400	\$ 83,990	403	\$ 85,792	3	\$1,802	2.1%
COP Licensing	23	5,755	20	4,009	23	5,952	23	6,232	0	280	4.7%
COP Royalty Judges	6	1,829	5	1,711	6	1,898	9	2,867	3	969	51.1%
Total, COP, S&E	429	\$ 93,407	420	\$ 77,627	429	\$ 91,840	435	\$ 94,891	6	\$3,051	3.3%
COP Basic Off Coll		(39,218)		(27,036)		(39,218)		(35,004)		4,214	-10.7%
COP Basic Unobligated Bal		(4,328)		(2,686)		(4,003)		(3,000)		1,003	-25.1%
COP Licensing Off Coll		(5,755)		(4,009)		(5,952)		(6,232)		(280)	4.7%
COP Royalty Judges Off Coll		(517)		(473)		(530)		(546)		(16)	3.0%
Total Appropriation, COP, S&E	429	\$ 43,589	420	\$ 43,422	429	\$ 42,137	435	\$ 50,109	6	\$7,972	18.9%
Congressional Research Service, S&E											
CRS, S&E	621	\$ 125,688	604	\$ 125,574	621	\$ 120,495	633	\$ 129,516	12	\$ 9,021	7.5%
Books for the Blind and Print Disabled, S&E											
BBPD, S&E	113	\$ 52,783	103	\$ 52,432	115	\$ 58,563	115	\$ 60,639	0	\$ 2,076	3.5%
Total Resource Summary, LC											
Total Budget	3,356	\$ 751,930	3,174	\$ 727,843	3,443	\$ 775,062	3,466	\$ 829,628	23	\$ 54,566	7.0%
Total Offsetting Collections	0	(55,818)	0	(36,485)	0	(55,703)	0	(50,782)	0	4,921	-8.6%
Total Appropriations, LC	3,356	\$ 696,112	3,174	\$ 691,358	3,443	\$ 719,359	3,466	\$ 778,846	23	\$ 59,487	8.3%

**Library of Congress
Resource Summary
Analysis of Change
(Dollars in Thousands)**

Appropriation/PPA	Fiscal 2020 Enacted Budget								Fiscal 2021 Total Request
		Mandatory Pay Increases	Price Level	Sub-total	Non- Recur	Current Services Request	Program Increases	Total Net Change	
Library of Congress, S&E									
Office of the Librarian	\$50,292	\$1,944	\$235	\$2,179	\$0	\$52,471	\$1,134	\$3,313	\$53,605
Office of the Chief Operating Officer	82,274	2,412	1,707	4,120	(650)	85,744	2,485	5,955	88,229
Library Collections and Services Group	241,284	11,334	1,747	13,080	0	254,374	5,269	18,349	259,643
Office of Chief Information Officer	128,314	3,952	1,542	5,494	0	131,808	7,094	12,588	138,902
Office of Inspector General	3,991	188	24	212	0	4,203	0	212	4,203
Total Budget, LC, S&E	\$504,164	\$19,831	\$5,255	\$25,086	(\$650)	\$528,600	\$15,982	\$40,418	\$544,582
CDS	(6,000)	0	0	0	0	(6,000)	0	0	(6,000)
Total Approp, LC, S&E	\$498,164	\$19,831	\$5,255	\$25,086	(\$650)	\$522,600	\$15,982	\$40,418	\$538,582
Copyright Office, S&E									
COP Basic	\$83,990	\$2,451	\$742	\$3,194	(\$2,103)	\$85,081	\$711	\$1,802	\$85,792
COP Licensing	5,952	209	72	280	0	6,232	0	280	6,232
COP Royalty Judges	1,898	85	19	104	0	2,002	865	969	2,867
Total, Budget, CO, S&E	\$91,840	\$2,745	\$833	\$3,578	(\$2,103)	\$93,315	\$1,576	\$3,051	\$94,891
Basic Offsetting Collections	(39,218)	0	(1)	(1)	0	(39,219)	0	4,214	(35,004)
Basic Prior Year Unobligated Balance	(4,003)	0	0	0	0	(4,003)	0	1,003	(3,000)
Licensing Offsetting Collections	(5,952)	(209)	(72)	(280)	0	(6,232)	0	(280)	(6,232)
CRJ Offsetting Collections	(530)	0	(16)	(16)	0	(546)	0	(16)	(546)
Total, Approp, CO, S&E	\$42,137	\$2,536	\$745	\$3,281	(\$2,103)	\$43,316	\$1,576	\$7,972	\$50,109
Congressional Research Service, S&E									
CRS, S&E	\$120,495	\$6,617	\$471	\$7,088	\$0	\$127,583	\$1,933	\$9,021	\$129,516
Books for the Blind and Print Disabled, S&E									
BBPD, S&E	\$58,563	\$968	\$1,108	\$2,076	\$0	\$60,639	\$0	\$2,076	\$60,639
Total, Library of Congress									
Total Budget	\$775,062	\$30,161	\$7,666	\$37,828	(\$2,753)	\$810,137	\$19,491	\$54,566	\$829,628
Total Offsetting Collections	(55,703)	(209)	(88)	(297)	0	(56,000)	0	4,921	(50,782)
Total Appropriations	\$719,359	\$29,952	\$7,578	\$37,531	(\$2,753)	\$754,137	\$19,491	\$59,487	\$778,846

Library of Congress
Summary by Object Class
(Dollars in Thousands)

Object Class	Fiscal 2019		Fiscal 2020 Enacted Budget	Fiscal 2021	Fiscal 2020/2021 Net Change	Percent Change
	Operating Plan	Actual Obligations		Request Total		
00.0 Lapse Reserve	\$500	\$0	\$500	\$500	\$0	0.0%
Total, Lapse Reserve	\$500	\$0	\$500	\$500	\$0	0.0%
11 1 Full-time permanent	\$335,685	\$325,470	\$355,747	\$372,951	\$17,204	4.8%
11 3 Other than full-time permanent	6,948	5,875	6,948	7,224	276	4.0%
11 5 Other personnel compensation	6,419	5,867	6,419	6,663	245	3.8%
11 8 Special personal services payment	455	166	455	472	17	3.8%
12 1 Civilian personnel benefits	115,547	106,175	116,296	132,936	16,641	14.3%
13 0 Benefits for former personnel	162	300	162	165	2	1.5%
Total, Pay	\$465,216	\$443,851	\$486,026	\$520,412	\$34,386	7.1%
21 0 Travel & transportation of persons	\$ 2,009	\$ 1,560	\$ 2,009	\$ 2,073	\$64	3.2%
22 0 Transportation of things	459	279	459	472	13	2.8%
23 1 Rental payments to GSA	4,722	4,609	4,722	5,052	330	7.0%
23 2 Other Services	3,419	2,654	3,419	3,491	72	2.1%
23 3 Communication, utilities & misc charges	16,829	15,550	18,926	19,730	804	4.2%
24 0 Printing & reproduction	3,376	3,533	3,376	3,673	297	8.8%
25 1 Advisory & associate services	69,003	70,085	63,575	71,894	8,319	13.1%
25.2 Other services	38,638	32,526	53,539	55,289	1,750	3.3%
25 3 Other purch of goods & services from gov acc	35,168	40,365	25,508	26,495	987	3.9%
25 4 Operation & maintenance of facilities	8,516	8,744	8,516	8,729	213	2.5%
25 5 Research and Development Contracts	515	15	515	528	13	2.5%
25 6 Medical Care	135	173	135	138	3	2.5%
25 7 Operation & maintenance of equipment	18,001	18,935	18,005	18,781	776	4.3%
25 8 Subsistence and Support of Persons	58	18	58	60	1	2.5%
26 0 Supplies & materials	8,311	7,933	8,311	8,959	648	7.8%
31 0 Equipment	69,263	69,707	69,416	75,099	5,684	8.2%
41 0 Grants, subsidies & contributions	7,570	6,132	7,825	8,020	196	2.5%
42 0 Insurance claims & indemnities	0	163	0	0	0	0.0%
44 0 Refunds	0	0	0	0	0	0.0%
94 0 Financial Transfers	222	1,012	222	233	11	5.0%
Total, Non-Pay	\$ 286,214	\$ 283,992	\$ 288,536	\$ 308,716	\$ 20,180	7.0%
Total, Library of Congress	\$ 751,930	\$ 727,843	\$ 775,062	\$ 829,628	\$ 54,566	7.0%

Library of Congress Analysis of Change

(Dollars in Thousands)

	Fiscal 2021 Agency Request	
	Funded FTE	Amount
Fiscal 2020 Enacted Budget	3,443	\$775,062
Non-recurring Costs:		
Public Records & Recordation		(1,100)
Warehouse Move Preparation		(1,003)
Financial Services Optimization & Modernization		(650)
Total, Non-recurring Costs	0	(2,753)
Mandatory Pay and Related Costs:		
Locality-based comparability pay raise January 2021 @ 3.00%		4,167
Annualization of January 2020 pay raise @ 3.52%		10,655
Within-grade increases		2,110
One extra day, 262 vs. 261		1,852
Foreign Service Nationals (FSN) pay adjustment		293
Fiscal 2019 - 2020 FERS pay increase		6,847
Fiscal 2020 - 2021 FERS pay increase		4,237
Total, Mandatory Pay and Related Costs	0	30,161
Price Level Changes		7,666
Program Increases:		
Library Data Strategy	2	1,134
Personnel Security Case Management System		1,106
Enterprise Relationship Management Solution		1,250
Paid Internship Program	1	899
Automated Records Management System	2	1,861
Cyber Security Enhancements		3,925
Workstation Procurement		58
eAcquisition Application and Contract Management		1,379
Compact Shelving Replacement - Quad B		4,370
Music Modernization Act Staffing	3	711
Copyright Royalty Judges Staffing	3	865
Science and Technology Research Capacity	12	1,933
Total, Program Increases	23	19,491
Net Increase/Decrease	23	54,566
Total Budget	3,466	\$829,628
Total Offsetting Collections	0	(50,782)
Total Appropriation	3,466	\$778,846

**Library of Congress
Staffing Summary - On-Board/FTEs**

Direct Funded by Appropriation/PPA	On-Board	FTEs				
	Fiscal 2019 Year-end Actual Staff	Fiscal 2019 Actual FTE Usage	Fiscal 2020 Funded FTE	Fiscal 2021 Funded FTE Request	Fiscal 2021 Total FTE Request	Change
Library of Congress, S&E						
Office of the Librarian	203	189	197	2	199	2
Office of the Chief Operating Officer	285	250	293	0	293	0
Library Collections and Services Group	0	0	1,413	1	1,414	1
Office of Chief Information Officer	289	282	361	2	363	2
Library Services	1,314	1,227	0	0	0	0
Law Library	88	86	0	0	0	0
Office of the Inspector General	14	12	14	0	14	0
Total, Library of Congress, S&E	2,193	2,047	2,278	5	2,283	5
Copyright Office, S&E						
COP Basic	400	395	400	3	403	3
COP Licensing	23	20	23	0	23	0
COP CRJ	6	5	6	3	9	3
Total, Copyright Office, S&E	429	420	429	6	435	6
Congressional Research Service, S&E						
CRS, S&E	621	604	621	12	633	12
Books for the Blind and Print Disabled, S&E						
BBPD, S&E	113	103	115	0	115	0
Total, Library of Congress						
Total, Library of Congress	3,356	3,174	3,443	23	3,466	23

Library of Congress
Fiscal 2021 Supplemental Data on Mandatory Pay Increases
(Dollars in Thousands)

Category	LC, S&E	CO, S&E	CRS, S&E	BBPH, S&E	Total
1 Jan 2021 Locality-based Comparability Pay Raise	\$ 4,205	\$ 1,226	\$ 2,300	\$ 323	\$ 8,053
2. Annualization of Jan 2020 Raise	5,264	479	899	126	6,769
3 Within-grade increases	1,403	238	411	57	2,110
4 One Extra Day	1,768	150	407	106	2,432
5 Foreign Service Nationals (FSN) Pay Adjustment	293	0	0	0	293
6 FERS Pay Adjustment	6,897	651	2,600	356	10,504
Total Mandatory Pay Increases	\$19,831	\$2,745	\$6,617	\$968	\$30,161

Explanation of Calculations

1. January 2021 pay raise calculated at 2.25% of pay base. (Pay Rate of 3 0% X 9 months or 75%).
2. Annualization of January 2020 pay raise calculated at .088% of pay base. (Actual rate of 3.52% X 3 months or 25%).
3. Within-grade (WIG) increases calculated against current on-board staff eligible for WIGs during fiscal 2020.
4. One extra day Fiscal 2020 has 261 days and fiscal 2021 has 262 days.
5. Pay adjustment for overseas foreign service nationals. Computation based on individual country inflation rates, provided by IMF DataMapper Dataset World Economic Outlook. Country rates used for fiscal 2021 are as follows: Brazil - 3.8%; Egypt - 7.2%; Kenya - 5%; India - 4.1%; Pakistan - 8.3%; and Indonesia - 3.1%.
6. FERS Contribution increase of 2.3% for 2020, and a 1.3% for 2021.

Library of Congress
Fiscal 2021 Supplemental Data on Price Level Increases
(Dollars in Thousands)

Category	LC, S&E	CO, S&E	CRS, S&E	BBPH, S&E	Total
1 General inflationary increase	\$4,477	\$833	\$471	\$1,108	\$6,888
2 Field Office inflationary increase	238	0	0	0	238
3 Acquisitions of library materials inflation	541	0	0	0	541
Total Price Level Increases	\$5,255	\$833	\$471	\$1,108	\$7,666

Explanation of Calculations

1. General inflationary increase calculated using CBO rate of 2.5% of non-pay base for fiscal 2020 (except as noted below).
2. Inflationary non-pay increase for overseas field offices Computation based on individual country inflation rates, provided by IMF DataMapper Dataset World Economic Outlook. Country rates used for fiscal 2020 are as follows: Brazil – 3.8%; Egypt – 7.2%; Kenya - 5%; India - 4.1%; Pakistan – 8.3%, and Indonesia - 3.1%.
3. Inflationary rate for acquisition of library materials determined by annual study and/or actual historical rates. Rates used for fiscal 2019 are as follows: Books for the Law Library - 2.71%; Books for the General Collections (GENPAC) - 2.87%.

Library of Congress			
Total Funds Available - All Sources			
(Dollars in Thousands)			
	Fiscal 2019 Actual	Fiscal 2020 Budget	Fiscal 2021 Request
Total Appropriations			
Library of Congress	\$691,358	\$719,359	\$778,846
AOC - Library Buildings and Grounds	68,525	55,746	111,193
Subtotal, Appropriations	\$759,883	\$775,105	\$890,039
Receipts (Actual Collected and Estimated)			
Sales of catalog cards and publications	\$ 2,281	\$ 6,000	\$ 6,000
Collections to Global Legal Information Network	0	0	0
Copyright fees	27,036	39,218	35,004
Copyright basic prior year unobligated balances	2,686	4,003	3,000
Licensing and CRJ fees	4,482	6,482	6,778
Subtotal, Receipts	\$ 36,485	\$ 55,703	\$ 50,782
Non-Appropriated Funds			
Gift and Trust Funds ¹	\$ 21,240	\$ 19,399	\$ 22,283
Revolving Fund Revenue (Actual & Estimated)	71,956	228,075	246,652
Reimbursable Activities (Actual & Estimated)	3,237	3,900	5,900
Subtotal, Non-Appropriated Funds	\$ 96,433	\$ 251,374	\$ 274,835
Total Funds Available			
Total	\$892,801	\$1,082,182	\$1,215,656

Library of Congress			
Statement of Receipts			
(Dollars in Thousands)			
	Fiscal 2019 Actual	Fiscal 2020 Estimate	Fiscal 2021 Estimate
Statement of Receipts, Treasury Department General Fund Account			
Other miscellaneous receipts	\$4,340	\$2,500	\$2,500
Total Receipts into General Fund Account	\$4,340	\$2,500	\$2,500
Statement of Receipts, Payments to Copyright Owners			
Receipts from fees, Digital audio recording devices and media (DART)	\$ 13	\$ 13	\$ 13
Receipts from interest on investments in public debt securities (DART)	-	-	-
Total Receipts into Special Fund Account	\$ 13	\$ 13	\$ 13

LIBRARY OF CONGRESS,
SALARIES AND EXPENSES

Library of Congress, Salaries & Expenses Resource Summary (Dollars in Thousands)											
Appropriation/PPA	Fiscal 2019				Fiscal 2020 Enacted Budget		Fiscal 2021		Fiscal 2020/2021 Net Change		Percent Change
	Operating Plan		Actual Obligations				Request Total		Funded FTE	\$	
	Funded FTE	\$	FTE Usage	\$	Funded FTE	\$	Funded FTE	\$			
Office of the Librarian	203	\$ 42,914	189	\$ 38,709	197	\$ 50,292	199	\$ 53,605	2	\$ 3,313	6.6%
Office of the Chief Operating Officer	285	78,021	250	82,618	293	82,274	293	88,229	0	5,955	7.2%
Library Collections and Services Group	0	0	0	0	1,413	241,294	1,414	256,643	1	18,349	0.0%
Office of the Chief Information Officer	289	117,528	282	113,120	361	126,314	363	138,902	2	12,588	10.0%
Library Services	1,314	220,900	1,227	217,256	0	0	0	0	0	0	0.0%
Law Library	88	17,343	86	17,145	0	0	0	0	0	0	0.0%
Office of the Inspector General	14	3,346	12	3,362	14	3,991	14	4,203	0	212	5.3%
Total Budget, LC, S&E	2,193	\$ 480,052	2,047	\$ 472,210	2,278	\$ 504,164	2,283	\$ 544,682	5	\$ 40,418	8.0%
Cataloging Distribution Services		(6,000)				(6,000)		(6,000)	0	0	0.0%
Total Appropriation, LC, S&E	2,193	\$ 474,052	2,047	\$ 472,210	2,278	\$ 498,164	2,283	\$ 538,682	5	\$ 40,418	8.1%

**Library of Congress, Salaries & Expenses
Summary By Object Class**

(Dollars in Thousands)

Object Class	Fiscal 2019		Fiscal 2020 Enacted Budget	Fiscal 2021	Fiscal 2020/2021 Net Change	Percent Change
	Operating Plan	Actual Obligations		Request Total		
00 0 Lapse Reserve	\$500	\$0	\$500	\$500	\$0	0.0%
Total, Lapse Reserve	\$500	\$0	\$500	\$500	\$0	0.0%
11 1 Full-time permanent	\$218,802	\$206,317	\$233,149	\$243,447	\$10,299	4.4%
11 3 Other than full-time permanent	4,864	4,060	4,864	5,057	193	4.0%
11 5 Other personnel compensation	3,387	3,871	3,387	3,515	127	3.8%
11 8 Special personal services payment	370	166	370	385	15	4.0%
12 1 Civilian personnel benefits	71,455	68,281	72,101	82,667	10,566	14.7%
13 0 Benefits for former personnel	100	237	100	100	0	0.4%
Total, Pay	\$298,978	\$282,932	\$313,970	\$335,170	\$21,200	6.8%
21 0 Travel & transportation of persons	\$ 1,380	\$ 1,023	\$ 1,380	\$ 1,420	\$40	2.9%
22 0 Transportation of things	383	253	383	394	11	2.9%
23 1 Rental payments to GSA	1,771	1,771	1,771	2,028	256	14.5%
23 2 Other Services	2,429	2,348	2,429	2,499	70	2.9%
23 3 Communication, utilities & misc charges	15,289	14,408	17,289	18,047	758	4.4%
24 0 Printing & reproduction	2,001	2,121	2,001	2,051	50	2.5%
25 1 Advisory & associate services	48,228	50,475	42,800	50,653	7,853	18.3%
25 2 Other services	23,565	21,731	34,457	37,626	3,169	9.2%
25 3 Other purch of goods & services from gov acc	13,316	20,388	14,275	15,040	765	5.4%
25 4 Operation & maintenance of facilities	8,508	8,723	8,508	8,721	213	2.5%
25 5 Research and Development Contracts	0	0	0	0	0	0.0%
25 6 Medical Care	135	173	135	138	3	2.5%
25 7 Operation & maintenance of equipment	14,668	15,860	14,668	15,057	389	2.6%
25 8 Subsistence and Support of Persons	8	0	8	8	0	2.5%
26 0 Supplies & materials	2,869	2,604	2,869	3,365	496	17.3%
31 0 Equipment	38,233	40,126	38,674	43,611	4,937	12.8%
41 0 Grants, subsidies & contributions	7,570	6,132	7,825	8,020	196	2.5%
42 0 Insurance claims & indemnities	0	128	0	0	0	0.0%
44 0 Refunds	0	0	0	0	0	0.0%
94 0 Financial Transfers	222	1,012	222	233	11	5.0%
Total, Non-Pay	\$ 180,574	\$ 189,278	\$ 189,694	\$ 208,912	\$ 19,218	10.1%
Total, Library of Congress, S&E	\$ 480,052	\$ 472,210	\$ 504,164	\$ 544,582	\$ 40,418	8.0%

Library of Congress, Salaries & Expenses Analysis of Change

(Dollars in Thousands)

	Fiscal 2021	
	Agency Request	
	FTE	Amount
Fiscal 2020 Enacted Budget	2,278	\$504,164
Non-recurring Costs:		
Financial Services Optimization & Modernization		(650)
Total, Non-recurring Costs	0	(650)
Mandatory Pay and Related Costs:		
Locality-based comparability pay raise January 2021 @ 3.00%		4,205
Annualization of January 2020 pay raise @ 3.52%		5,264
Within-grade increases		1,403
One extra day, 262 vs. 261		1,768
Fiscal 2019 - 2020 FERS pay increase		4,416
Fiscal 2020 - 2021 FERS pay increase		2,481
Foreign Service Nationals (FSN) pay adjustment		293
Total, Mandatory Pay and Related Costs	0	19,831
Price Level Changes		5,255
Program Increases:		
Paid Internship Program	1	899
Library Data Strategy	2	1,134
Automated Records Management System	2	1,861
Personnel Security Case Management System		1,106
Cyber Security Enhancements		3,925
Enterprise Relationship Management Solution		1,250
eAcquisition Application and Contract Management		1,379
Compact Shelving Replacemenet - Quad B		4,370
Workstation Procurement		58
Total, Program Increases	5	15,982
Net Increase/Decrease	5	40,418
Total Budget	2,283	\$544,582
Total Offsetting Collections	0	(6,000)
Total Appropriation	2,283	\$538,582

Office of the Librarian

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

Office of the Librarian Summary By Object Class (Dollars in Thousands)

Object Class	Fiscal 2019		Fiscal 2020 Enacted Budget	Fiscal 2021 Request Total	Fiscal 2020/2021 Net Change	Percent Change
	Operating Plan	Actual Obligations				
00 0 Lapse Reserve	\$500	\$0	\$500	\$500	\$0	0.0%
Total, Lapse Reserve	\$500	\$0	\$500	\$500	\$0	0.0%
11 1 Full-time permanent	\$23,431	\$21,806	\$21,971	\$23,066	\$1,095	5.0%
11 3 Other than full-time permanent	544	550	544	564	20	3.8%
11 5 Other personnel compensation	259	281	246	255	9	3.7%
11 8 Special personal services payment	300	166	300	312	12	4.0%
12 1 Civilian personnel benefits	8,037	7,214	7,559	8,713	1,154	15.3%
13 0 Benefits for former personnel	0	0	0	0	0	0.0%
Total, Pay	\$32,570	\$29,817	\$30,620	\$32,910	\$2,290	7.5%
21 0 Travel & transportation of persons	\$ 343	\$ 152	\$ 324	\$ 332	\$8	2.5%
22 0 Transportation of things	12	2	12	12	0	2.5%
23 1 Rental payments to GSA	0	0	0	0	0	0.0%
23 2 Other Services	0	0	0	0	0	0.0%
23 3 Communication, utilities & misc charges	220	183	209	214	5	2.5%
24 0 Printing & reproduction	0	286	283	290	7	2.5%
25 1 Advisory & associate services	297	862	299	307	8	2.6%
25 2 Other services	704	1,235	10,649	11,459	810	7.6%
25 3 Other purch of goods & services from gov acc	1,116	197	175	179	4	2.6%
25 4 Operation & maintenance of facilities	175	0	0	0	0	0.0%
25 5 Research and Development Contracts	0	0	0	0	0	0.0%
25 6 Medical Care	0	0	0	0	0	0.0%
25 7 Operation & maintenance of equipment	172	162	172	177	4	2.5%
25 8 Subsistence and Support of Persons	0	0	0	0	0	0.0%
26 0 Supplies & materials	145	156	139	143	3	2.5%
31 0 Equipment	189	825	184	189	5	2.5%
41 0 Grants, subsidies & contributions	6,471	5,033	6,726	6,894	168	2.5%
42 0 Insurance claims & indemnities	0	0	0	0	0	0.0%
Total, Non-Pay	\$ 9,844	\$ 8,892	\$ 19,172	\$ 20,195	\$ 1,023	5.3%
Total, Office of the Librarian	\$ 42,914	\$ 38,709	\$ 50,292	\$ 53,605	\$ 3,313	6.6%

Office of the Librarian Analysis of Change

(Dollars in Thousands)

	Fiscal 2021 Agency Request	
	Funded	
	FTE	Amount
Fiscal 2020 Enacted Budget	197	\$50,292
Non-recurring Costs:	0	0
Mandatory Pay and Related Costs:		
Locality-based comparability pay raise January 2021 @ 3.00%		398
Annualization of January 2020 pay raise @ 3.52%		542
Within-grade increases		139
One extra day, 262 vs. 261		89
Fiscal 2019 - 2020 FERS pay increase		495
Fiscal 2020 - 2021 FERS pay increase		281
Total, Mandatory Pay and Related Costs	0	1,944
Price Level Changes		235
Program Increases:		
Library Data Strategy	2	1,134
Total, Program Increases	2	1,134
Net Increase/Decrease	2	3,313
Total Budget	199	\$53,605
Total Offsetting Collections	0	0
Total Appropriation	199	\$53,605

Fiscal 2021 Program Changes: \$ 1.134 million

Library Data Strategy:

\$1.134 million/ 2 FTE

To fulfill the commitments of its strategic plan, the Library must become adept at measurement and evaluation of user-centered operations, and is requesting \$1.134 million in fiscal 2021 to establish the development of a data and analytics capability within the Library. This effort includes developing a user data strategy to guide its approach to data and analytics programs moving forward, executing select user data and analytics pilot projects from the strategy, and standing up a permanent, centralized data analytics group to support all agency units in design and execution of user data strategy projects. The funding request includes \$350,000 for two FTE to staff a new Data & Analytics team, and temporary funding of \$784,000 for contracting support to develop the data strategy and execute select pilots. Temporary contracting support will non-recur in fiscal years 2022 and 2023, \$523,000 and \$261,000 respectively.

Initial staffing and associated responsibilities are as follows.

1. Supervisory Data Analyst (one – GS 14)

Responsible for initiating the group, overseeing the contract for the data strategy, hiring an additional team member, and working with organizational units to create and lead an agency-wide community of practice.

2. Data Analyst (one – GS 13)

Responsible for designing, developing, and using data collection instruments; gathering data from external sources, integrating and analyzing data; and reporting trends, conclusions, and potential impacts.

This team will be a part of the Library's Strategic Planning and Performance Management (SPPM) office, the Director of which reports directly to the Librarian of Congress.

In the *2019-2023 Library of Congress Strategic Plan: Enriching the Library Experience*, the Library has committed to both a user-centered direction forward and to applying a data-driven approach to prioritizing investments to implement this strategy.

In addition, as encouraged by Congressional Members, staff and in the March 2017 Office of the Inspector General's (OIG) Semiannual Report to Congress, the Library has specifically set a strategic goal of measuring impact in its strategic plan. This is defined as "Using data to measure our impact on the world around us and share a powerful story." However, as also noted by the OIG, the Library does not have the processes, methodologies, or subject matter expertise needed to consistently and strategically identify, capture,

analyze, and make decisions on data from its users' needs and quality of experiences. Gaining a robust capability in this area is essential to planning and executing a user-centered approach. Additionally, while discrete groups within the Library collect important data about the Library's collections and key workflows, these activities and the data captured often do not contribute to workflow management nor are they fully integrated into decision making. Data assimilated only at these levels is focused on the *outputs* of workflows rather than on *outcomes* or *impact*, thus curtailing the Library's ability to quantify and analyze the return made on its varied investments and, therefore, optimizing where resources should be placed next.

The Value of Data & Analytics to the Library and its Users

Beyond capturing and tracking data, a data analytics capability supports the discovery and communication of meaningful patterns in data, and the ability to develop actionable insights that are applicable to management functions (e.g. collections development and management), improving services and meeting user requirements (e.g. recommendation services, collections discovery), and, ultimately, measuring an organization's impact (demonstrating value, improving outcomes).

In accordance with the strategic plan, throughout the Library's operations, the Library is especially interested in a robust analytics capability to ensure:

- A greater understanding and execution of Congressional Members and staff needs and preferences;
- The development of a deeper, more intimate understanding of users and non-users, and to better understand what data points are relevant and meaningful to inform actions that will improve in-person and remote experiences and services; as well as communicate in an interest based way, leading to stronger connections and more positive user responses;
- A robust priority setting capability for new offerings or services and to provide input for development of new or optimization of existing platforms; and identify and project trends, patterns, and shifts in behavior and determine how to respond;
- The development of more effective Library services and systems to identify how researchers get their information and engage with services and systems, and how they perceive their satisfaction and dissatisfaction with the services and systems;

- Determine what improvements to make for exhibition layouts and better use of space, and then measure the result of the actions taken to determine the return on investment by analyzing how visitors and users interact with and move through Library exhibits; understand the optimal integration of online and in-person experiences, for example through the interplay of pre-visit digital analytics, facility traffic monitoring, program participation, and satisfaction surveys; and report on the success and impact of programs, exhibits, and events to expand and engage the Library's funder base; and
- Better predict and prepare for visitor and user levels. For example, currently, the Capitol Visitor Center uses analytics to predict visitor numbers, allowing them to better prepare for visitor levels (e.g. ensure appropriate staffing levels).

Approach

Given this is a new area of expertise for the Library, and in keeping with peer organizations practices and the OIG's July 2018 report on the Library's strategic planning and performance management approach, external subject matter expertise is necessary to develop the Library's path forward and launch this capability.

As such, the planned approach requires engaging expertise to perform a central, agency-wide study of current user data and analytics practices; develop a data and analytics strategy that builds efficiencies across the Library service units' user-centered data needs while building awareness and understanding of data and analytics concepts and approaches throughout the Library; and design and pilot select projects from the plan to rapidly increase internal capability maturity.

Development of the Library's data strategy and executing pilot projects, is expected to take approximately 15 months, and includes activities over two phases of work. Phase I includes:

- Identifying the current state of user-oriented data, analytics, and metrics across the Library; inventory existing data, analytics, and metrics captured and used across the Library, including source, owners, description, reporting, use, and supporting platforms and systems;
- Defining the desired state of user data and metric objectives collaboratively with service units, determining priorities based on the Library's strategic plan and service unit directional plan priorities and timelines, and validating these priorities; and
- Developing the Library's User Data, Analytics, and

Metrics Strategy, including determining the effort needed to modify existing and build new data and metric approaches, outlining performance measurement impact on employees and data collection recommendations, and creating the future state metrics; recommending data approaches and strategies important to the immediate, mid-term and long-term execution of the Library's Strategic Plan; determining the effort needed to modify or build metrics for these priorities in a data plan, to include recommendations for collecting, assessing, and responding to data, such as personnel, IT, and other needs, and recommending specific recommendations that the Library can take action on immediately.

Phase II of the work includes developing an execution plan based upon the key priorities defined in the User Data Strategy; and implementing Data Pilots identified in Phase I intended to rapidly increase internal capability maturity.

While an assessment of the Library's current state as well as the opportunities and implications moving forward require the expertise of individuals familiar with the details, progress, and opportunities that come from this science, the Library cannot continue to rely on outside expertise. Libraries, museums, archives, and other peer sectors with strong strategic data and analytic programs have determined that this capability must be a core competency. As such, in parallel to engaging external expertise to develop a plan and design and execute pilot projects, the Library will build internal capacity by standing up a new group within the Office of the Librarian to manage the external work and develop this core competency.

The outcome of this investment is a strong, sound, value-added user data and analytics approach and capability for the Library. The data and analytics study and strategy development will result in a detailed understanding of the current state of the Library's many and varied data approaches and strategies for user-connected activities; a plan for improving its data and analytics approach for its immediate, mid, and long-term success; and experience with pilot projects. Non-value added data efforts will be curtailed, and resources will be focused on ensuring Library leadership has the user data and information from analytics needed to lead the Library to fulfill and clearly communicate the user-centered commitments of its strategic plan.

This initiative will improve the Library's user information data gathering and translation of that data to insightful decision making. The Library will look to expand the data effort in the future by enhancing data governance standards. These improved standards will encourage an environment of collaboration while supporting evidence-based decision making at the Library.

Office of the Librarian

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$53,605 million** for the Librarian's Office in fiscal 2021. This is an increase of \$3,313 million, or 6.6 percent, over fiscal 2020. This increase represents \$2.179 million for mandatory pay related and price level increases, and a program change of \$1.134 million and two FTEs for Library Data Strategy.

Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2019				Fiscal 2020 Enacted Budget		Fiscal 2021		Fiscal 2020/2021 Net Change		Percent Change
	Operating Plan		Actual Obligations				Request Total				
	Funded FTE	\$	FTE Usage	\$	Funded FTE	\$	Funded FTE	\$	Funded FTE	\$	
LIBN_LB	134	\$25,389	133	\$23,129	123	\$22,370	125	\$24,876	2	\$2,507	11.2%
LIBN_CEI	32	4,563	34	4,682	35	\$14,826	35	\$15,097	0	271	1.8%
LIBN_CLLE	37	12,962	22	10,898	39	13,096	39	13,632	0	536	4.1%
Total, LIBN	203	\$42,914	189	\$38,709	197	\$50,292	199	\$53,605	2	\$3,313	6.6%

FUNDING OVERVIEW

In fiscal 2020, the Office of the Librarian has a budget of \$50,292 million/197 FTE (Pay - \$30,620 M/ Non-Pay - \$19,172 M/ Reserve - \$0.500 million) which supports overall Library management. Of this funding, \$10 million of no-year funding was appropriated in fiscal 2020 to support the Visitor Experience public/private partnership initiative, providing a total of \$30 million over three years. The Visitor Experience funding will non-recur in fiscal 2023. The funding goal of \$60 million for this initiative -- \$40 million appropriated and \$20 million from private donations.

The Office of the Librarian is organized into three directorates: Office of the Librarian (LIBN), Center for Exhibits and Interpretation (CEI), and the Center for Learning, Literacy and Engagement (CLLE).

- LIBN - \$22,370 million/ 123 FTE
- CEI - \$14,826 million/ 35 FTE
- CLLE - \$13,096 million/ 39 FTE

Funded Programmatic Increases

Visitor Experience Master Plan (VEMP)

Fiscal 2018

- Visitor Experience initiative of \$10 million was approved – the first \$2 million was designated to develop the Visitor Experience Master Plan (VEMP). The remaining \$8 million would be released for the project after the VEMP was congressionally approved.

Fiscal 2019

- The completed VEMP was submitted to the Congressional oversight committees on June 28, 2019 and approved by the Congressional oversight committee

Members on September 19, 2019.

- With approval, the Library gained access and is beginning to execute the remaining \$8 million dollars. The contracts are for the 1) Treasures Gallery exhibit design and Audio-Visual (AV)/Interactives design and production; 2) Orientation Gallery/Welcome Area exhibit design and AV/Interactives design and production; 3) Youth Center Experience Design Plan

Fiscal 2020

- Will execute the initial contracts mentioned above.
- Prepare for awarding Signage/Wayfinding contract in late fiscal 2020 or early fiscal 2021.
- Fund the AOC design/construction work for the Treasures Gallery, AOC design work for the Orientation Gallery/Oculus/Welcome Area, and Youth Center design.

Enriching the Visitor's Experience Fiscal 2020 Request

- In the fiscal 2020 Congressional Budget Justification (CBJ) the request for \$10 million was approved, giving a total of \$20 million appropriated to date. This request is for \$10 million no-year funding to remain in the base and non-recur in 2023.

Fiscal 2021

Assuming the \$10 million of no-year funding recurs in fiscal 2021:

- The Treasures Gallery final design package is completed and contract will be prepared for exhibit fabrication and installation.
- Will continue design work on the Orientation Gallery/Welcome Area content and AV/Interactives development.

- Youth Center exhibit design & AV/Interactives design and production contract will be executed.
- AOC construction contracts for Orientation Gallery/Welcome Area.
- Wayfinding/Signage vendor will be on-board, developing the new signage package.

For additional information, please see Appendix O: Visitor Experience Initiative.

PROGRAM OVERVIEW

The Office of the Librarian provides leadership to the Library, overseeing the implementation and management of the Library's mission to support the Congress in fulfilling its constitutional duties and to further the progress of knowledge and creativity for the benefit of the American people. The Librarian of Congress and the Principal Deputy Librarian provide executive management to all Library units, which include all Library of Congress Salary and Expenses service units, the Congressional Research Service (CRS), the National Library Service for the Blind and Print Disabled, and the U.S. Copyright Office (USCO).

Fiscal 2019 Accomplishments

Office of the Librarian (LIBN)

In fiscal 2019, with a budget of \$25 389 million, LIBN, accomplished the following.

Core Services

- Congressional Relations Office (CRO) initiated nearly 26,400 communications and sent more than 115,000 targeted outreach emails to Congressional offices; recorded more than 2,200 visits by Members to nearly 200 Library and Congressional events; provided more than 200 special tours; and facilitated the scheduling of more than 45,000 constituent tours of the Thomas Jefferson Building
- Development Office hired Director of Development/Campaign Director and met institutional fundraising goals.
- Office of Equal Employment Opportunity (EEO) and Diversity Programs coordinated diversity programming, trainings, and briefings to promote a workplace environment of fairness and inclusion, lead the EEO Diversity and Inclusion Working Group, served as a non-adversarial forum to address workplace issues and ensured compliance with applicable EEO laws and regulations through the processing of EEO complaints, and made Library programs and events accessible to employees and members of the public.
- Office of Communications provided public relations and media support to more than 100 Library initiatives; earned media efforts resulting in more than 63,000

online and broadcast news stories, and more than 77 million impressions via the Library's Instagram, Facebook, and Twitter accounts, sharing valuable information about the Library's work and collections with the public.

- Strategic Planning and Performance Management (SPPM) facilitated development of service unit Directional Plans, developed the Library's Implementation Roadmap, improved the Library's approach to setting and tracking meaningful goals and targets resulting in 96 percent of established performance targets were met or exceeded in fiscal 2019, and improved the Library's newly launched integrated Risk and Internal Control framework.

- Provided oversight of Library Collections and Services Group (LCSG).

Center for Exhibits and Interpretation (CEI)

In fiscal 2019, with a budget of \$4.563 million, CEI accomplished the following.

Core Services

- Opened a major exhibition on the women's suffrage movement, *Shall Not Be Denied*, on June 4, 2019.
- Installed new artifact rotations in the ongoing exhibitions of the *Exploring the Early Americas*, Buell Map, Gershwin, Bob Hope and Graphic Arts galleries and oversaw the programming, development, design, and installation of eight agile case displays in the Thomas Jefferson Building.
- Developed and fabricated the *Rosa Parks: In Her Own Words* exhibition which opened on December 5, 2019.
- Promoted the Library's major exhibition on women's suffrage, *Shall Not Be Denied*, with the publication of an official companion volume and released two affordable and accessible books highlighting Library collections: *Game Faces: Early Baseball Cards from the Library of Congress* and *North Mississippi Homeplace: Photographs and Folklife*.
- Supported the entire Library with all printed materials and electronic designs, including new visual identity.

Center for Learning, Literacy and Engagement (CLLE)

In fiscal 2019, with a budget of \$12 962 million, CLLE accomplished the following.

Core Services

- Launched the new "National Book Festival Presents" series to build on the success of the National Book Festival. Conceptualized, created, and executed more than 250 book-related programs featuring bestselling, prize-winning, and distinguished authors in every genre.
- Led the selection and onboarding of new U.S. Poet Laureate Joy Harjo.

- Developed a new programs pilot lab to explore new programming models for the Library.
- Through the Teaching with Primary Sources Program (TPS), distributed \$6.5 million in grants to support professional development programs and the creation of classroom materials featuring the Library's online collections.
- Coordinated 702 events – including 168 at the request of Members of Congress, 468 sponsored by the Library and 66 for external organizations – representing a 26 percent increase in programming from fiscal 2018.
- Organized and executed the 2019 Gershwin Prize for Popular Song; honoring Gloria and Emilio Estefan; hosted the American Library Association members at the Library of Congress; and organized and executed the 2019 Library of Congress National Book Festival, which welcomed over 200,000 people in a single day
- Assisted in welcoming more than 1.6 million annual visitors to the Thomas Jefferson Building.

Fiscal 2020 Priority Activities

Office of the Librarian (LIBN)

In fiscal 2020, with a budget of \$22.370 million, LIBN priorities include the following

Core Services

- CRO will continue to explore new ways to open the Library's extensive holdings to Members of Congress and their constituents; coordinate the use of Library space for Members to host events related to Congressional business, and coordinate Library interactions with congressional oversight committees.
- Development Office will raise funds to complete VEMP projects and define campaign priorities and goals.
- Office of EEO and Diversity Programs will coordinate diversity programming, trainings, and briefings to promote a workplace environment of fairness and inclusion:
 - Lead the EEO Diversity and Inclusion Working Group;
 - Serve as a non-adversarial forum to address workplace issues;
 - Ensure compliance with applicable EEO laws and regulations; and
 - Make Library programs and events accessible to employees and members of the public.
- Office of Communications will continue to develop engaging public affairs content for a variety of platforms and audiences to support Library programs and

initiatives, including.

- Publications and digital content, with a special emphasis on enhancing the experience of the Library's extraordinary resources.
- SPPM will guide and assist service units as they extend their unit-level Directional Plans; update the Library's Implementation Roadmap to show accomplishments for fiscal 2019 and report on the progress of service units.
 - Improve the Library's risk management and internal control framework.
- LCSG was realigned from the Office of the Librarian, and established at its own Program, Project, and Activity (PPA) in fiscal 2020.

Center for Exhibits and Interpretation

In fiscal 2020, with a budget of \$14 826 million, CEI priorities include the following

Core Services

- Exhibits Office will proceed with design development, AV development, and fabrication and installation of the Mayflower Compact–inspired exhibition, Join In: The American Pursuit of Civil Society, opening in November 2020 and proceed with planning processes for the Not an Ostrich photography exhibition.
- Publishing Office will launch the Library of Congress Crime Classics series; release another affordable, accessible book highlighting the collections – Cherry Blossoms. Sakura Collections from the Library of Congress – and promote the Library's major exhibition on Rosa Parks with publication of an official companion volume.
- Design Office ensures consistency of new visual identity throughout the Library

Center for Learning, Literacy and Engagement (CLLE)

In fiscal 2020, with a budget of \$13 096 million, CLLE priorities include the following

Core Services

- Implement National Book Festival Presents and Thursday Late Night Programming, two new models for Library programs to expand audiences and deepen connections with the collections.
- Build an audience research and evaluation program and implement a model for capturing user information to measure lifelong learning with the Library and create an audience development strategy that will increase participation in Library initiatives
- Research, experiment, and prototype with the Library community to develop effective approaches for inter-generational co-learning.

- Revitalize the network of state Centers for the Book, developing and articulating a clear rationale for the centers and the nature of their relationship to the Library of Congress, including:

- Quantitative and qualitative metrics to measure the centers and program impacts; and
- Launch well-defined series of readings/book talks to targeted audiences.

- Utilize TPS resources to lead the Library's efforts to engage, inspire, and inform learners through primary source-based programs, publications, innovative on-site experiences, and creative online initiatives.

- Continue to efficiently manage and execute events that support the mission of the Library

- Build on the success of privately funded programs such as the Gershwin Prize for Popular Song and National Book Festival by leveraging these recognized brands to extend the Library's reach through yearlong programming.

- Continue to welcome, engage and inspire visitors and guests. Expand existing volunteer program to diversify and maximize onsite visitor support.

Fiscal 2021 Priority Activities

Office of the Librarian (LIBN)

In fiscal 2021, with a budget of \$24.876 million requested, LIBN priorities include the following

Core Services

- CRO will introduce a new class of freshman Members to the Library in fiscal 2021; plan and coordinate New Member Orientation events at the Library; and update its informational materials for delivery to Members' offices.
- Development Office supports defined institutional priorities for fundraising and execute regional campaign strategy to increase visibility and philanthropy across the country for the Library.
- Office of EEO and Diversity Programs continues to coordinate diversity programming, trainings, and briefings to promote a workplace environment of fairness and inclusion.
- Office of Communications will continue to develop engaging public affairs content for a variety of platforms and audiences to support Library programs and initiatives.
- SPPM will continue to improve frameworks and services supporting service units' planning and performance management activities and expand the Library's integrated Risk Management and Internal Control framework.

Center for Exhibits and Interpretation (CEI)

In fiscal 2021, with a budget of \$15.097 million requested, CEI priorities include the following.

Core Services

- Not an Ostrich photography exhibit will open to the public.
- Publishing Office will plan to release companion volumes to the new Treasures gallery in late 2022 and release a companion volume to the Library's Join In exhibition opening November 2020.
- Publishing Office will also identify co-publishers and release dates for a new biography of Richard Morris Hunt, a comprehensive illustrated study of American skyscrapers, and a comprehensive history of the Library.
- CEI will continue to improve all aspects of Library's print, exhibit, and electronic messaging and seek further print offerings, techniques, and specialties to offer as in-house services.

Center for Learning, Literacy and Engagement

In fiscal 2021, with a budget of \$13.632 million requested, CLLE priorities include the following.

Core Services

- CLLE will continue to grow an audience research and evaluation program and utilize a model for capturing information about users so that we can measure lifelong learning with the Library. Data gathered will inform future planning.
- Continue to research, experiment, and prototype with the Library community to develop effective approaches for intergenerational co-learning.
- Continue to develop the network of state Centers for the Book, focusing on leveraging strong partnerships with the centers to activate Library of Congress ambassadors nationwide.
- Continue to lead the Library's efforts to engage, inspire, and inform learners through primary source-based programs, publications, innovative on-site experiences, and creative online initiatives.
- Continue to manage and execute events that support the mission of the Library.
- Continue to capitalize on the success of the Gershwin Prize for Popular Song and National Book Festival by creating a yearlong programmatic schedule in conjunction with signature programs.
- Develop an updated programming and visitor engagement approach to support VEMP and other space enhancements.

Office of the Chief Operating Officer

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

Office of the Chief Operating Officer
Resource Summary
(Dollars in Thousands)

Appropriation/PPA	Fiscal 2019				Fiscal 2020 Enacted Budget		Fiscal 2021		Fiscal 2020/2021 Net Change		Percent Change
	Operating Plan		Actual Obligations				Request Total				
	Funded FTE	\$	FTE Usage	\$	Funded FTE	\$	Funded FTE	\$	Funded FTE	\$	
OCOO_COO	144	34,204	119	32,368	144	34,856	144	38,974	0	4,118	11.8%
OCOO_FSD	50	13,350	48	13,681	60	16,328	60	16,456	0	128	0.8%
OCOO_ISS	91	30,467	83	36,569	89	31,090	89	32,799	0	1,709	5.5%
Total, OCOO_COO	285	\$78,021	250	\$82,618	293	\$ 82,274	293	\$ 88,229	0	\$5,955	7.2%

Office of the Chief Operating Officer
Summary By Object Class
(Dollars in Thousands)

Object Class	Fiscal 2019		Fiscal 2020 Enacted Budget	Fiscal 2021 Request Total	Fiscal 2020/2021 Net Change	Percent Change
	Operating Plan	Actual Obligations				
00 0 Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0.0%
Total, Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0.0%
11 1 Full-time permanent	\$27,571	\$25,526	\$28,632	\$29,733	\$1,101	3.8%
11 3 Other than full-time permanent	285	221	285	296	11	4.0%
11 5 Other personnel compensation	296	297	296	308	12	3.9%
11 8 Special personal services payment	38	0	38	39	2	4.0%
12 1 Civilian personnel benefits	9,325	8,557	9,667	10,954	1,287	13.3%
13 0 Benefits for former personnel	100	37	100	100	0	0.4%
Total, Pay	\$37,614	\$34,638	\$39,018	\$41,430	\$2,413	6.2%
21 0 Travel & transportation of persons	\$ 49	\$ 40	\$ 49	\$ 50	\$1	2.0%
22 0 Transportation of things	2	1	2	2	0	2.2%
23 1 Rental payments to GSA	1,771	1,771	1,771	2,028	256	14.5%
23 2 Other Services	200	182	200	205	5	2.5%
23 3 Communication, utilities & misc charges	1,236	1,279	1,236	1,336	100	8.1%
24 0 Printing & reproduction	153	136	153	157	4	2.5%
25.1 Advisory & associate services	8,595	9,761	8,592	10,008	1,416	16.5%
25 2 Other services	10,464	9,811	12,822	13,454	632	4.9%
25 3 Other purch of goods & services from gov acc	3,538	10,220	4,147	4,514	367	8.8%
25 4 Operation & maintenance of facilities	8,503	8,716	8,503	8,716	213	2.5%
25 5 Research and Development Contracts	0	0	0	0	0	0.0%
25 6 Medical Care	135	173	135	138	3	2.5%
25 7 Operation & maintenance of equipment	2,658	2,846	2,658	2,744	86	3.2%
25 8 Subsistence and Support of Persons	0	0	0	0	0	0.0%
26 0 Supplies & materials	409	400	409	840	431	105.5%
31 0 Equipment	2,695	2,645	2,580	2,608	28	1.1%
41 0 Grants, subsidies & contributions	0	0	0	0	0	0.0%
42 0 Insurance claims & indemnities	0	0	0	0	0	0.0%
44 0 Refunds	0	0	0	0	0	0.0%
Total, Non-Pay	\$40,407	\$47,980	\$ 43,256	\$ 46,799	\$ 3,542	8.2%
Total, Office of the Chief Operating Officer	\$78,021	\$82,618	\$ 82,274	\$ 88,229	\$ 5,955	7.2%

Chief Operating Officer Analysis of Change

(Dollars in Thousands)

	Fiscal 2021 Agency Request	
	Funded	
	FTE	Amount
Fiscal 2020 Enacted Budget	293	\$82,274
Financial Services Optimization & Modernization		(650)
Non-recurring Costs:	0	- 650
Mandatory Pay and Related Costs:		
Locality-based comparability pay raise January 2021 @ 3.00%		839
Annualization of January 2020 pay raise @ 3.52%		328
Within-grade increases		173
One extra day, 262 vs. 261		148
Fiscal 2019 - 2020 FERS pay increase		574
Fiscal 2020 - 2021 FERS pay increase		349
Total, Mandatory Pay and Related Costs	0	2,412
Price Level Changes		1,707
Program Increases:		
eAcquisition Application and Contract Management		1,379
Personnel Security Case Management System		1,106
Total, Program Increases	0	2,485
Net Increase/Decrease	0	\$ 5,955
Total Budget	293	\$88,229
Total Offsetting Collections	0	(6,000)
Total Appropriation	293	\$82,229

Fiscal 2021 Program Changes: \$ 2.485 million

Personnel Security Case Management System: \$1.106 million

The Library requests \$1.106 million to implement a Commercially available Off-the-Shelf (COTS) software solution to automate the existing manual process used by the Library to perform personnel security functions. Funding of \$763,000 for the one-time procurement of the COTS system will non-recur in fiscal 2022, and \$75,000 for the digitization and ingest of current paper records will be non-recurred in fiscal 2024, leaving ongoing support of \$268,000 for operational and maintenance.

The primary mission of the Personnel Security Division's (PSD) is to protect the Library's personnel, property, and facilities through management of all activities involved in the Library's Personnel Security, Suitability/Fitness, and Credentialing (SSC) eligibility program. These activities include designating position sensitivity and risk level; conducting investigation/adjudication history checks; collecting and reviewing security applications; initiating background investigations; and adjudicating completed investigations to determine SSC eligibility. PSD also issues and manages security clearances for access to classified national security information, coordinates appeals of security clearance denials and revocations, and provides oversight of security clearance holder responsibilities that include Reporting Requirements and the Continuous Evaluation Program.

PSD annually initiates over 750 full background investigations and reviews almost 1,400 criminal/credit checks. This workload will increase with the continued re-designation of federal positions, Pre-Vetting processing for all position types, and Trusted Workforce 2.0 implementation.

PSD is limited in its performance potential due to manual, paper-based processes that have been used since the program began in the 1940s. Because of this, the Library is unable to leverage current and future government-wide initiatives such as e-Delivery and web-based adjudication that would add process efficiencies, digital file security, workforce flexibility, and improved assessment of program effectiveness.

To resolve this issue, a COTS software solution to automate PSD's existing manual process is requested. This system will support the entire lifecycle of the Library's personnel security management functions, including capturing data related to all aspects of pre-appointments, suitability determinations, security clearance processing, briefings, foreign travel, foreign contacts and other relevant data points of interest. The system will also be used to collect metrics to provide Library leadership with updates regarding the program's current standing and will have the capability to interface with existing internal Library systems such as EmpowHR and ServiceNow, as well as external systems being developed by personnel security stakeholder agencies such as the National Background Investigation Services (NBIS).

eAcquisition and Contract Management: \$1.379 million

The Library requests \$1.379 million to implement an eAcquisition application to add digital structure and workflow to the contract process and increase visibility for Library stakeholders and management by procuring licenses to extend functionality to program, budget, and legal staff. The current application configuration enables use within the Contracts and Grants Directorate. In fiscal year 2022, \$295,000 will non-recur, leaving ongoing funding of \$1.084 million for licenses and maintenance.

The expansion will modernize acquisition planning and execution processes, supplement and replace manual controls and data sources, and expose and mitigate risks throughout the acquisition life cycle. The eAcquisition application transitions paper processes and files into a digital environment to allow staff to focus on substantive work and increase the discoverability of critical contract information. The eAcquisition application will improve transparency and enable the Library to identify bottlenecks to reduce delays. In replacing the archaic paper system, a versatile, electronic, accessible repository that saves time, frustration, and physical labor across

the contracting staff, project managers, service unit contracting officer's representatives and the Office of General Council will be created. This application will create an efficient, transparent, easily searchable record accessible by all parties rather than a single paper folder for each contract. The application will enable the Library to manage and mitigate risks, reduce the time to award contracts, and improve retention of the Library's acquisition workforce. This system will provide an accessible, electronic repository and record for the contracting work, research and planning that is done outside of the Library's authoritative Legislative Branch Financial Management System (LBFMS).

In fiscal 2019 the Library implemented an initial digital capability for contract staff. The eAcquisition application provides functionality beyond digital document management to support the full acquisition lifecycle for program and contract staff. If funded, program managers will use the application to bridge the gap between budget formulation and contract execution, re-using the information from the initial planning and budgeting phase to build statements of work, detailed

cost estimates, and capture market analysis for comprehensive acquisition results. The advance acquisition planning functionality drives consistent and repeatable project planning, budgeting, execution and tracking with visibility into all contract processes. The application will shorten the acquisition lifecycle by improving the process and flow of contract information through tailored workflows, and eliminating duplicative forms and redundant documentation.

The eAcquisition application will enable end-to-end process management and integration with a single point of data entry to eliminate duplicative work and enable Library management to better track productivity, workload, and real-time status for schedules, targets, and forecasts. The eAcquisition application is a unified system of record that ensures all contract information is searchable, accessible, and auditable. By enabling project managers to develop acquisition packages (planning, research and lifecycle record) electronically rather than manually, unifying budget data and other sources, in collaboration with contract staff, the eAcquisition solution will increase insight into planned, budgeted work. As requisition documents and contracts are executed in LBFMS, there will be a limited "one way" interface from LBFMS into the application that will provide the execution information of

commitments, obligations and expenditures. The application complements the financial system, storing signed contracts and voluminous supporting documents that are currently maintained in paper files. Tailored workflows and approvals ensure appropriate controls are in place for official federal records. The application includes pre-defined and custom reports to leverage the data available in LBFMS.

Other efficiencies provided to contracting officer representatives, contracting officers, general council and program staff is a central electronic library easily accessible that will streamline review and approval cycles, eliminating push carts of paper files; provide a contracting template and forms library with samples for reference; enable a Digital signature capability; provide a collaborative workflow environment among relevant parties; enable the monitoring of trends and findings for improved quality control; and provide a comprehensive electronic historical record

The eAcquisition application will leverage the core technologies of digitization, document management, and data visualization to reduce manual labor, streamline business processes, and employ data-driven analysis for more efficient and effective acquisition planning and execution

Chief Operating Officer

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

Chief Operating Officer Summary By Object Class (Dollars in Thousands)						
Object Class	Fiscal 2019		Fiscal 2020 Enacted Budget	Fiscal 2021 Request Total	Fiscal 2020/2021 Net Change	Percent Change
	Operating Plan	Actual Obligations				
00 0 Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0.0%
Total, Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0.0%
11 1 Full-time permanent	\$13,395	\$12,345	\$13,482	\$13,978	\$496	3.7%
11 3 Other than full-time permanent	107	35	107	111	4	4.0%
11 5 Other personnel compensation	122	148	122	127	5	3.7%
11 8 Special personal services payment	7	0	7	7	0	4.0%
12 1 Civilian personnel benefits	4,621	4,241	4,623	5,213	590	12.8%
13 0 Benefits for former personnel	0	0	0	0	0	0.0%
Total, Pay	\$18,252	\$16,769	\$18,341	\$19,436	\$1,096	6.0%
21 0 Travel & transportation of persons	\$ 20	\$ 11	\$ 20	\$ 20	\$0	1.3%
22 0 Transportation of things	1	0	1	1	0	2.0%
23 1 Rental payments to GSA	0	0	0	0	0	0.0%
23 2 Other Services	0	0	0	0	0	0.0%
23 3 Communication, utilities & misc charges	788	825	788	877	89	11.2%
24 0 Printing & reproduction	84	76	84	86	2	2.4%
25 1 Advisory & associate services	3,855	3,938	3,853	5,800	1,947	50.5%
25 2 Other services	5,651	5,540	6,281	6,750	469	7.5%
25 3 Other purch of goods & services from gov acc	1,840	2,107	1,840	1,880	39	2.1%
25 4 Operation & maintenance of facilities	0	0	0	0	0	0.0%
25 5 Research and Development Contracts	0	0	0	0	0	0.0%
25 6 Medical Care	0	0	0	0	0	0.0%
25 7 Operation & maintenance of equipment	1,710	1,811	1,710	1,752	43	2.5%
25 8 Subsistence and Support of Persons	0	0	0	0	0	0.0%
26 0 Supplies & materials	285	292	285	713	428	150.0%
31 0 Equipment	1,719	1,001	1,654	1,659	5	0.3%
41 0 Grants, subsidies & contributions	0	0	0	0	0	0.0%
42 0 Insurance claims & indemnities	0	0	0	0	0	0.0%
44 0 Refunds	0	0	0	0	0	0.0%
Total, Non-Pay	\$15,953	\$15,600	\$ 16,515	\$ 19,538	\$ 3,022	18.3%
Total, Chief Operating Officer	\$34,205	\$32,369	\$ 34,856	\$ 38,974	\$ 4,118	11.8%

Chief Operating Officer Analysis of Change

(Dollars in Thousands)

	Fiscal 2021 Agency Request	
	Funded	
	FTE	Amount
Fiscal 2020 Enacted Budget	144	\$34,856
Non-recurring Costs:	0	0
Mandatory Pay and Related Costs:		
Locality-based comparability pay raise January 2021 @ 3.00%		379
Annualization of January 2020 pay raise @ 3.52%		148
Within-grade increases		78
One extra day, 262 vs. 261		67
Fiscal 2019 - 2020 FERS pay increase		266
Fiscal 2020 - 2021 FERS pay increase		157
Total, Mandatory Pay and Related Costs	0	1,096
Price Level Changes		537
Program Increases:		
eAcquisition and Contract Management		1,379
Personnel Security Case Management System		1,106
Total, Program Increases	0	2,485
Net Increase/Decrease	0	\$ 4,118
Total Budget	144	\$38,974
Total Offsetting Collections	0	(6,000)
Total Appropriation	144	\$32,974

Chief Operating Officer

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$38,974 million** for the Chief Operating Officer in fiscal 2021. This is an increase of \$4,118 million, or 11.8 percent, over fiscal 2020. This increase represents \$1.633 million for mandatory pay related and price level increases, and programmatic increases of \$2.485 million, [\$1.379 million] for Acquisition and Contract Management and [\$1.106 million] for the Personnel Security Case Management System.

Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2019				Fiscal 2020 Enacted Budget	Fiscal 2021		Fiscal 2020/2021 Net Change		Percent Change	
	Operating Plan		Actual Obligations			Request Total					
	Funded FTE	\$	FTE Usage	\$		Funded FTE	\$	Funded FTE	\$		
OCOO_COO	130	\$28,204	109	\$30,088	130	\$ 28,856	130	\$ 32,974	0	\$4,118	14.3%
Cataloging Dist Services	14	6,000	10	2,281	14	6,000	14	6,000	0	(0)	0.0%
Total, OCOO_COO	144	\$34,204	119	\$32,369	144	\$ 34,856	144	\$ 38,974	0	\$4,118	11.8%

FUNDING OVERVIEW

In fiscal 2020, the Office Chief Operating Officer (COO) has a budget of \$34.856 million/144 FTE (Pay - \$18.341 M/ Non-Pay - \$16.515 M) supporting overall infrastructure management. Included in this appropriation, \$6 million is derived from offsetting collections authority and is credited to this appropriation for support of the Cataloging Distribution Services program.

PROGRAM OVERVIEW

The Chief Operating Officer organization provides comprehensive services, manages institutional programs, and oversees regulatory compliance in the areas of financial administration; human capital; contracting; facilities, safety and health services; asset management; and personnel security and emergency preparedness.

The Human Capital Directorate (HCD): Leads efforts to attract and retain a diverse, talented, and results-driven workforce; develop and evaluate policies, procedures, and systems designed to support the Library's mission and priorities through collaborative leadership; stewards employee training and development; and administers the Library's compensation programs. HCD provides Library leadership and staff with expert consultation and guidance on the full range of human capital tactics, strategies, and methods to ensure a high-performing organization.

The Contracts and Grants Directorate (CGD): Plans and executes contracts, grants, and other transactions on behalf of the Library in compliance with federal laws and regulations. The Contracts Division fulfills Library requirements through timely negotiation and award of cost effective contracts for goods and services. The Grants Division enables

collaboration between Library service units and academic communities to advance knowledge, creativity, education, and research through negotiation and award of grants and other transactions.

Security and Emergency Preparedness Directorate (SEPD): Provides policy direction, review, and coordination of all security and emergency preparedness activities of the Library. Administers the Library's program for the protection of staff, visitors, collections, and equipment, manages the Library's information security program for classified materials; administers electronic and physical security services; and manages the Library's contract guard program. SEPD administers the Library's personnel security and suitability programs; initiates and adjudicates background investigations to determine the suitability of employees and contractors; and determines the security clearance eligibility of individuals requiring access to classified national security information.

Library Enterprises (LE): Serves users through the sale of products and services. LE is supported by offsetting collections, revolving, and trust funds and is comprised of three business-oriented divisions: Business Enterprises (BE), Federal Research Division (FRD), and the Federal Library and Information Network (FEDLINK). BE operates the Library Gift Shop, distributes cataloging products, and makes reproductions of Library collection materials available. FRD leverages Library collections to provide research and reports for federal agencies. FEDLINK acquires commercial online information services, publications and library-supported services for federal libraries and other federal offices.

COO provides oversight of both the **Financial Services Directorate** and the **Integrated Support Services**. These directorate overviews are reported separately.

Fiscal 2019 Accomplishments

In fiscal 2019, with a budget of \$34.205 million, COO accomplished the following.

Human Capital Directorate (HCD)

Core Services

- Processed 45 percent more vacancy announcement requests with 20 percent fewer resources and kept HCD's average process time at 24 days.
- Automated the position description classification process and as a result saw a decrease in the average processing time by over 20 percent
- Automated the supervisory performance management process in the Office of Personnel Management's (OPM) USA Performance system and eliminated 1,120 paper performance documents
- Automated the transit subsidy request process and automated the separation clearance request process. This resulted in the elimination of approximately 14,000 paper documents.
- Expanded leadership and supervisory training programs designed to build proficiency with the core leadership competencies that drive employee engagement, innovation, and productivity
- Partner with service units to analyze data from the 2020 Federal Employees Viewpoint Survey (FEVS) and engage with employees about action plans to address concerns.

Contracts and Grants Directorate (CGD)

The Contracts and Grants Directorate awarded \$225 million in contracts and \$10 million in grants, awards, and fellowships.

Core Services

- Deployed a rigorous training program to increase knowledge and skills and fill competency gaps within the Library's acquisition community.
- Improved planning and execution to balance obligations across the fiscal year and award competitive contracts timely
- Significant contracts awarded include:
 - Software development for the enterprise Copyright system
 - Continued development of Congress.gov and LOC.gov
 - Integration of FEDLINK into Momentum
 - Technology Business Management (TBM)
 - Legislative Branch Financial Management System (LBFMS)

Special Initiatives

- Negotiated and awarded contracts for acquisition data visualization, contract file digitization, and an electronic document and records management system (eDRMS).
- Implemented a process to identify and manage risks in the acquisition process, including RQ quality, milestone tracking, workload, and de-obligations. This reduced the volume of year-end obligations, allowing more time for proposal preparation, evaluation, and negotiation.
- Worked with OCIO and Library service units to streamline and improve Agile IT development contracts.

Security and Emergency Preparedness Directorate (SEPD)

Core Services

- Focused on implementing and maintaining physical security controls and safeguards protecting the Library's high-value collections processing, storage and exhibition areas.
- Completed five separate special security assessments of high-value collection areas and implementation of security controls protecting short and long-term collection exhibitions.
- Evaluated methodologies to establish a formal tracking and monitoring tool for security assessment and Site Assistance Visit outcomes.
- Developed a framework to improve the monitoring and tracking of staff emergency preparedness training, class scheduling and attendance, and training outcomes

Fiscal 2020 Priority Activities

In fiscal 2020, with a budget of \$34.856 million, COO accomplished the following

Human Capital Directorate (HCD)

Core Services

- Collaborate with OCIO and service unit representatives to streamline business processes and optimize core technologies to facilitate data-driven analysis and more efficient and effective operations.
- Improve data-driven decision making across service units through better access to human capital data analytics through the implemented data visualization tool.
- Promote current and accurate human capital regulations and directives through a regular HCD/General Counsel review cycle.

- Optimize the newly acquired learning management system (LMS) to support continuous learning, enhanced skills, and mission readiness.
- Continue to partner with service units to analyze data from the 2020 FEVS and engage with employees about action plans to address concerns

Contracts and Grants Directorate (CGD)

The Contracts and Grants Directorate will continue to negotiate and award the Library's contracts, grants and other transactions timely, balancing obligations across the fiscal year and engage in upfront planning to offset challenges presented by the fiscal year's continuing resolutions.

Core Services

- Improve coordination with service units through acquisition planning teams and integrate spend and IT investment plans aligned to acquisition forecasts.
- Expand streamlined ordering procedures and publish guidance to improve contract management for agile IT development.
- Update, deploy, and track acquisition training to fill competency gaps within the Library's acquisition community.
- Significant planned contracts include:
 - CRS IRIS Software and continued development
 - Copyright Modernization contracts
 - Visitor Experience – Treasures and Orientation Gallery exhibit design
 - Teaching with Primary Sources Grants
 - NLS Modernization contracts – eReader, BARD, Braille, and Audio Book production
 - OCIO hardware and software licensing and support including Agile Development, IT Security Services, Data Center Migration Services and support services, and Cloud services
 - Custodial services for the James Madison, John Adams, and Thomas Jefferson memorial buildings.

Special Initiatives

- Improve accessibility of CGD's documents by digitizing all documents.
- Transition to an electronic Document and Records Management System (eDRMS)
- Leverage data visualization tool to make information on Library contracts and agreements more accessible.

- Expand workload and workflow management across the Library, automate business processes, and assess robotics applications to increase productivity.

Security and Emergency Preparedness Directorate (SEPD)

Core Services

- Enhance safeguards for the Library's collections; protect facilities and staff; and strengthen the emergency preparedness program.
- The personnel security and employment suitability program will continue to expand the security vetting process.
- Initiate the Continuous Evaluation program for Library employees who occupy national security positions in fulfillment of recently established national standards.
- Protective Services staff will engage and collaborate with Library Visitor Experience program managers involved in design and construction, ensuring cost-effective security controls and measures are incorporated.

Fiscal 2021 Priority Activities

In fiscal 2020, with a budget of \$38.974 million requested, COO priorities include the following:

Human Capital Directorate (HCD)

Core Services

- Continue to collaborate with OCIO and service unit representatives to streamline business processes and optimize core technologies, to facilitate data-driven analysis and more efficient and effective operations.
- Benchmark other agencies' and organizations' talent acquisition tools and collaborate with service units and the Library's labor organizations to improve the hiring process.
- Continue to improve data-driven decision making across service units through better access to human capital data analytics through the implemented data visualization tool
- Continue to promote current and accurate human capital regulations and directives through a regular HCD/ General Counsel review cycle.
- Continue to partner with service units to analyze data from the 2020 FEVS and engage with employees about action plans to address concerns

Contracts and Grants Directorate (CGD)

The Contracts and Grants Directorate will continue to timely negotiate and award the Library's contracts, grants and other transactions, balancing obligations across the fiscal year.

Core Services

- Improve management and early identification of resources available for contract obligation through revised acquisition planning and risk mitigation.
- Increase efficiency and effectiveness of the procurement process through improved communication and coordination with service units.
- Significant planned contracts include:
 - Consolidated Cloud Hosting
 - IT Network and Security
 - Copyright Modernization contracts
 - NLS Modernization and advertising campaign

Special Initiatives

- Continue to leverage core technologies to create a better user experience, streamline business processes, and employ data-driven analysis.
- Improve management and transparency of CGD work adapting documents and processes in a digital

workflow management system and increasing productivity through automated business processes.

- Promote continuous improvement and innovation through a user-centered, digitally-enabled contract environment.

Security and Emergency Preparedness Directorate (SEPD)

Core Services

- Focus on initiating a comprehensive assessment to modernize processes and technologies to improve security and emergency preparedness programs to meet new and emerging threats and concerns.
- Continue to collaborate with Visitor Experience stakeholders on the build-out of new spaces associated with the visitor experience.
- Collaborate with Visitor Experience staff, Library Facilities staff, AOC and USCP to establish emergency preparedness protocols to meet a substantial increase in annual visitors.
- Continue to automate and streamline personnel security processes while implementing enhanced national agency program standards.

Financial Services Directorate

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

Financial Services Directorate Summary By Object Class (Dollars in Thousands)						
Object Class	Fiscal 2019		Fiscal 2020 Enacted Budget	Fiscal 2021 Request Total	Fiscal 2020/2021 Net Change	Percent Change
	Operating Plan	Actual Obligations				
00 0 Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0.0%
Total, Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0.0%
11 1 Full-time permanent	\$5,927	\$5,423	\$6,837	\$7,110	\$273	4.0%
11 3 Other than full-time permanent	81	111	81	84	3	4.0%
11 5 Other personnel compensation	85	79	85	88	3	4.0%
11 8 Special personal services payment	0	0	0	0	0	0.0%
12 1 Civilian personnel benefits	1,968	1,733	2,307	2,613	306	13.3%
13 0 Benefits for former personnel	100	37	100	100	0	0.0%
Total, Pay	\$8,160	\$7,384	\$9,411	\$9,996	\$585	6.2%
21 0 Travel & transportation of persons	\$ 4	\$ 3	\$ 4	\$ 4	\$0	2.5%
22 0 Transportation of things	0	0	0	0	0	2.7%
23 1 Rental payments to GSA	0	0	0	0	0	0.0%
23 2 Other Services	0	0	0	0	0	0.0%
23 3 Communication, utilities & misc charges	27	16	27	28	1	2.5%
24 0 Printing & reproduction	8	2	8	8	0	2.5%
25 1 Advisory & associate services	3,931	4,911	3,931	3,379	(552)	-14.0%
25 2 Other services	403	14	2,131	2,184	53	2.5%
25 3 Other purch of goods & services from gov acc	3	2	3	3	0	2.5%
25 4 Operation & maintenance of facilities	0	0	0	0	0	0.0%
25 5 Research and Development Contracts	0	0	0	0	0	0.0%
25 6 Medical Care	0	0	0	0	0	0.0%
25 7 Operation & maintenance of equipment	790	640	790	829	39	5.0%
25 8 Subsistence and Support of Persons	0	0	0	0	0	0.0%
26 0 Supplies & materials	10	10	10	11	0	2.5%
31 0 Equipment	13	697	13	13	0	2.5%
41 0 Grants, subsidies & contributions	0	0	0	0	0	0.0%
42 0 Insurance claims & indemnities	0	0	0	0	0	0.0%
44 0 Refunds	0	0	0	0	0	0.0%
Total, Non-Pay	\$5,190	\$6,297	\$ 6,917	\$ 6,460	\$ (457)	-6.6%
Total, Financial Services Directorate	\$13,350	\$13,681	\$ 16,328	\$ 16,456	\$ 128	0.8%

Financial Services Directorate Analysis of Change

(Dollars in Thousands)

	Fiscal 2021 Agency Request	
	Funded	
	FTE	Amount
Fiscal 2020 Enacted Budget	60	\$16,328
Financial Services Optimization & Modernization		(650)
Non-recurring Costs:	0	(650)
Mandatory Pay and Related Costs:		
Locality-based comparability pay raise January 2021 @ 3.00%		208
Annualization of January 2020 pay raise @ 3.52%		82
Within-grade increases		43
One extra day, 262 vs. 261		37
Fiscal 2019 - 2020 FERS pay increase		129
Fiscal 2020 - 2021 FERS pay increase		87
Total, Mandatory Pay and Related Costs	0	586
Price Level Changes		192
Program Increases:		
Total, Program Increases	0	0
Net Increase/Decrease	0	\$ 128
Total Budget	60	\$16,456
Total Offsetting Collections	0	0
Total Appropriation	60	\$16,456

Financial Services Directorate

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$16.456 million** for the Financial Services Directorate in fiscal 2021, an increase of \$0.128 million, or 0.8 percent, over fiscal 2020. This increase represents \$0.778 million for mandatory pay related and price level increases, and a non-recur of (\$0.650) million.

Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2019						Fiscal 2020 Enacted Budget	Fiscal 2021		Fiscal 2020/2021 Net Change		Percent Change
	Operating Plan		Actual Obligations		Request Total							
	Funded FTE	\$	FTE Usage	\$	Funded FTE	\$	Funded FTE	\$	Funded FTE	\$		
OCOO_FSD	50	\$13,350	48	\$13,681	60	\$ 16,328	60	\$ 16,456	0	\$128	0.8%	

FUNDING OVERVIEW

In fiscal 2020 the Financial Services Directorate (FSD) has a budget of \$16.328 million/60 FTE (Pay - \$9.411 M/ Non-Pay - \$6.917 M) which supports the management and oversight of Library's financial data. Of this funding \$3.877 million/9 FTE appropriated in fiscal 2019 and 2020 to support staffing and modernization needs of the office. After future non-recurs totaling \$1.800 million, are removed from the funding (as stated below), FSD will have ongoing funding of \$2.077 million for continued support of financial management.

Funded Programmatic Increases

System Improvements and standardization of the Legislative Branch Financial Management System (LBFMS)

Fiscal 2019

- \$750,000 for business process standardization (non-recurred in 2023), maintaining a permanent increase of \$383,000 for increased hosting costs.
- A Deputy Financial Systems Officer is onboard.
- Business process standardization (reengineering) implemented across the eight legislative branch agencies in the LBFMS.
- Provided hosting services with the increased funding to cover the increase in hosting costs driven by growth in the number of users.

Fiscal 2020

- Complete business and technical requirements to standardize the budget execution process.

Fiscal 2021

- Complete business and technical requirements to standardize processes for acquisitions, vendors, and purchase cards.

Financial Services Optimization and Modernization

Fiscal 2020

- Funding provided for:
 - \$350,000 - Digital Accountability and Transparency (DATA) Act of 2014 gap analysis, non-recurring in fiscal 2021;
 - \$300,000 - consultant studies;
 - \$373,000 - locate and support the Financial Reporting System (FRS) in the cloud and allow real-time reporting;
 - \$300,000 - FRS and other financial management-related training, with \$300,000 non-recurring in fiscal 2021;
 - \$400,000 - implementation of business process standardization (reengineering) studies into the LBFMS, non-recurring in fiscal 2024; and
 - \$1.021 million for 9 positions needed to fill important gaps in expertise needed now and into the future.

- Funding requested for a space renovation (\$568,500) was not provided

- Develop contract requirements for the DATA Act gap analysis, consultant studies, business process reengineering implementation, services to locate FRS in the cloud, and training for FRS and other financial management training, for award by the Library.

- Fill the 9 requested new positions.

Fiscal 2021

- Develop contract requirements for consultant studies, business process reengineering implementation, services to manage FRS in the cloud, and FRS and

other financial management training, for award by the Library

- Implement training for the 9 new positions.

PROGRAM OVERVIEW

The Financial Services Directorate provides policy direction, review, and coordination of all budgetary and financial activities of the Library. Responsibilities include formulation, presentation, and execution of the Library's budget; establishment of all budgetary and accounting standards; establishment and monitoring of financial systems controlling the expenditure and reporting of funds; management of the Library's travel program, and the purchase and travel card programs; disbursement, collection, and investment of funds, accounts payable; and financial reporting. The Chief Financial Officer serves as the principal advisor to the Librarian of Congress and Executive Committee on all financial activities of the Library. FSD's primary focus is to provide effective and responsible leadership, operational oversight and stewardship of financial management resources and services.

FSD functions are organized into the Accounting Operations Division, Budget Division, Disbursing Division, Financial Reports Division, and Financial Systems Division.

Fiscal 2019 Accomplishments

In fiscal 2019, with a budget of \$13.350 million, FSD accomplished the following.

Core Services

- Formulation, presentation, and execution presentation of the Library's budget.
- Accounting, travel, disbursing, financial systems, and financial reporting services for the Library's appropriated, gift, trust, revolving, and reimbursable funds.
- Liaison for the Library of Congress with the House and Senate Committees on Appropriations, Office of Management and Budget, Department of the Treasury, and Government Accountability Office in areas relating to financial functions.
- Host of the Legislative Branch Financial Management System (LBFMS) for the Library of Congress and seven legislative branch agencies on a shared services basis.

Special Initiatives

- Awarded a new 10-year LBFMS Hosting and Support Services contract, available for use by LBFMS shared-services partner agencies.
- Implemented e-Travel, providing paperless official travel authorization and vouchering, travel management services, and financial system

processing for faster and more reliable traveler reimbursement.

- Integrated FEDLINK financial data into the LBFMS, improving financial management of revolving funds

Fiscal 2020 Priority Activities

In fiscal 2020, with a budget of \$16.328 million, FSD's priorities include the following.

Core Services

- Continue to perform its core functions of budget oversight, Library financial management and liaison with the House and Senate Committees on Appropriations and other federal agencies
- Focus on system operations and hosting of the LBFMS.
- Begin configuration of an upgrade to the latest version of LBFMS for implementation in fiscal 2021.

Special Initiatives

- Complete an implementation roadmap and cost analysis for the Enterprise Planning and Management (EPM) initiative, a Library-wide effort to consolidate and integrate currently disparate financial and strategic planning workflows, performance management and reporting processes, IT investment planning, and supporting automation tools across multiple service units.
- Complete business and technical requirements to standardize the budget execution process (includes appropriated, gift and trust, reimbursable and revolving funds, and travel).
- Identify and evaluate existing FRS reports and assess operational value.
- Review the FRS data warehouse configuration and make future state recommendations to improve extracts from LBFMS, reporting performance and timeliness, and availability of data for analytics.
- Implement additional LBFMS capabilities.
- Develop and pilot requirements for the use of U.S. Treasury's G-Invoicing to manage the processing and approval of agreements, orders, and invoices.

Fiscal 2021 Priority Activities

In fiscal 2021, with a budget of \$16.456 million requested, FSD's priorities include the following.

Core Functions

- Continue to perform its core functions of budget oversight, Library financial management, and liaison with the House and Senate Committees on Appropriations and other federal agencies.

- Focus on operating the financial system and hosting the LBFMS.
- Test and implement an upgrade to the latest version of LBFMS.

Special Initiatives

- Migrate the LBFMS to a new, resilient and scalable hosting environment concurrent with the financial system upgrade go-live.
- Continue business process standardization,

developing business and technical requirements for the acquisition, vendor, and purchase card processes.

- Develop contract requirements for consultant studies, business process reengineering implementation, services to manage FRS in the cloud, and FRS and other financial management training, for award by the Library.
- Implement Treasury's G-Invoicing, piloted in fiscal 2020.

Integrated Support Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

Integrated Support Services Summary By Object Class

(Dollars in Thousands)

Object Class	Fiscal 2019		Fiscal 2020 Enacted Budget	Fiscal 2021 Request Total	Fiscal 2020/2021 Net Change	Percent Change
	Operating Plan	Actual Obligations				
00 0 Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0 0%
Total, Lapse Reserve	\$0	\$0	\$0	\$0	\$0	
11 1 Full-time permanent	\$8,250	\$7,758	\$8,314	\$8,646	\$332	4 0%
11 3 Other than full-time permanent	97	74	97	100	4	4 0%
11 5 Other personnel compensation	89	70	89	93	4	4 0%
11 8 Special personal services payment	30	0	30	32	1	4 0%
12 1 Civilian personnel benefits	2,736	2,584	2,736	3,127	391	14 3%
13 0 Benefits for former personnel	0	0	0	0	0	0 0%
Total, Pay	\$11,203	\$10,486	\$11,266	\$11,998	\$731	6.5%
21 0 Travel & transportation of persons	\$ 26	\$ 25	\$ 26	\$ 26	\$1	2 5%
22 0 Transportation of things	1	0	1	1	0	2 6%
23 1 Rental payments to GSA	1,771	1,771	1,771	2,028	256	14 5%
23 2 Other Services	200	182	200	205	5	2 5%
23 3 Communication, utilities & misc charges	421	439	421	431	11	2 5%
24 0 Printing & reproduction	61	57	61	63	2	2 5%
25 1 Advisory & associate services	809	912	809	829	20	2 5%
25 2 Other services	4,410	4,256	4,410	4,520	110	2 5%
25 3 Other purch of goods & services from gov acc	1,695	8,111	2,304	2,631	327	14 2%
25 4 Operation & maintenance of facilities	8,503	8,716	8,503	8,716	213	2 5%
25 5 Research and Development Contracts	0	0	0	0	0	0 0%
25 6 Medical Care	135	173	135	138	3	2 5%
25 7 Operation & maintenance of equipment	158	395	158	162	4	2 5%
25 8 Subsistence and Support of Persons	0	0	0	0	0	0 0%
26 0 Supplies & materials	113	98	113	116	3	2 5%
31 0 Equipment	963	947	913	936	23	2 5%
41 0 Grants, subsidies & contributions	0	0	0	0	0	0 0%
42 0 Insurance claims & indemnities	0	0	0	0	0	0 0%
44 0 Refunds	0	0	0	0	0	0 0%
Total, Non-Pay	\$ 19,264	\$26,083	\$ 19,824	\$ 20,801	\$ 977	4.9%
Total, Integrated Support Services	\$30,467	\$36,569	\$ 31,090	\$ 32,799	\$ 1,708	5.5%

Integrated Support Services Analysis of Change

(Dollars in Thousands)

	Fiscal 2021	
	Agency Request	
	Funded	
	FTE	Amount
Fiscal 2020 Enacted Budget	89	\$31,090
Non-recurring Costs:	0	0
Mandatory Pay and Related Costs:		
Locality-based comparability pay raise January 2021 @ 3.00%		252
Annualization of January 2020 pay raise @ 3.52%		98
Within-grade increases		52
One extra day, 262 vs. 261		44
Fiscal 2019 - 2020 FERS pay increase		179
Fiscal 2020 - 2021 FERS pay increase		106
Total, Mandatory Pay and Related Costs	0	731
Price Level Changes		977
Program Increases:	0	0
Net Increase/Decrease	0	1,709
Total Budget	89	\$32,799
Total Offsetting Collections	0	0
Total Appropriation	89	\$32,799

Integrated Support Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$32.799 million** for Integrated Support Services in fiscal 2021, an increase of \$1.709 million, or 5.5 percent, over fiscal 2020. This increase supports mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2019				Fiscal 2020 Enacted Budget		Fiscal 2021		Fiscal 2020/2021 Net Change		Percent Change
	Operating Plan		Actual Obligations				Request Total				
	Funded FTE	\$	FTE Usage	\$	Funded FTE	\$	Funded FTE	\$	Funded FTE	\$	
OCOO_ISS	91	\$30,467	83	\$36,569	89	\$ 31,090	89	\$ 32,799	0	\$1,709	5.5%

FUNDING OVERVIEW

In fiscal 2020, Integrated Support Services (ISS) has a budget of \$31 090 million/89 FTE (Pay - \$11.266 M/ Non-Pay - \$19.824 M) which supports overall facility operations and maintenance

PROGRAM OVERVIEW

Integrated Support Services is responsible for the day-to-day long-term management and oversight of facility operations, space utilization planning, occupational health, logistics, construction planning and management, asset management, and safety services. In partnership with the Architect of the Capitol (AOC), ISS ensures that Library buildings and grounds are maintained for staff, visitors, and the collections.

Fiscal 2019 Accomplishments

ISS successfully supported all service units by continuing to provide day-to-day and long-term management of facility operations, space utilization planning, occupational health, logistics, construction planning and management, asset management, and safety services.

Core Services

- Completed phase 1 of 4 and started phase 2 of compact shelving projects for Geography & Map Division and completed year one of phase 1 of 2 for Prints & Photographs Division. These are large multi-year replacement programs.
- Completed the third year of Quad C shelving replacement and installation of compact shelving. Quad C is one of four sub-basement quadrants in the James Madison Memorial Building (JMMB) for the Law Library.
- Supported the AOC to complete construction of the Law Library secure storage vault, the last of the four

secure storage vaults to be built in the JMMB.

- Completed refurbishment of the Congressional Research Services Domestic Social Policy Division.

Special Initiatives

- Completed the move to Ft. Meade Storage Module 5.
- Started construction of Ft. Meade Storage Module 6 and conducted risk assessment review, and completed initial designs of Ft. Meade Storage Module 7
- Completed logistics operation relocation of 25,000 square feet of collections and deposits from Landon Center Annex (LCA) to Cabin Branch, Maryland.
- Completed design and began construction for the United States Copyright Office (USCO) storage facility at 1519 Cabin Branch, Maryland
- Supported the Library's Visitor Experience planning and initiated related program and staff relocations.

Fiscal 2020 Priority Activities

ISS will continue to support all service units by providing day-to-day and long-term management of facility operations, space utilization planning, occupational health, logistics, construction planning and management, asset management, and safety services.

Core Services

- Complete Phase 1 of the Prints & Photographs Division compact shelving projects and initiate phase 2.
- Complete Phase 2 of the Geography & Map Division compact shelving project.
- Complete Law Library Quad C compact shelving installation.
- In conjunction with the operational consolidation project, complete redesign of the Office of the Chief

Information Officer (OCIO) operations locations.

- Support the AOC's completion of construction documents for the final phase of the John Adams Building Rain Leader project.
- Complete USCO design and subsequent reconfiguration.
- Continue supporting the AOC's efforts in planning and installing energy-efficient products throughout the Library buildings.

Special Initiatives

- Support the AOC's construction of Ft. Meade Storage Module 6.
- Ensure final transition by USCO storage facility at Cabin Branch from LCA.
- Prepare for the final close out of LCA
- Support the final decision on National Library Service for the Blind and Print Disabled (NLS) relocation
- Complete the Library's Visitor Experience-related program and staff relocations in preparation for Visitor Experience construction.
- Initiate the Jefferson North East emergency egress stair construction.

Fiscal 2021 Priority Activities

ISS efforts will continue to provide day-to-day and long-term management of facility operations, space utilization planning, occupational health, logistics, construction planning and management, asset management, and safety services. The additional focus on resolving storage capacity challenges throughout the Library buildings will continue as planned.

See Appendix J for further details on the Library's plans to update and modernize facilities

Core Services

- Begin the design effort for the replacement of the Law Library Quad B shelving.
- Begin implementation of redesigning office and software development spaces for the OCIO.

Special Initiatives

- Finalize and complete the close out of LCA 1st quarter of fiscal 2022.
- Support planning and execution of NLS on relocation
- Begin design for Ft. Meade Storage Module 8 in preparation of future funding.

Office of the Chief Information Officer

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

Office of the Chief Information Officer Summary By Object Class

(Dollars in Thousands)

Object Class	Fiscal 2019		Fiscal 2020 Enacted Budget	Fiscal 2021 Request Total	Fiscal 2020/2021 Net Change	Percent Change
	Operating Plan	Actual Obligations				
00 0 Lapse Reserve	\$ 0	\$ 0	\$ 0	\$ 0	\$0	0.0%
Total, Lapse Reserve	\$ 0	\$ 0	\$ 0	\$ 0	0	0.0%
11 1 Full-time permanent	\$38,518	\$36,854	\$49,738	\$51,990	\$2,252	4.5%
11 3 Other than full-time permanent	301	202	301	313	12	4.0%
11 5 Other personnel compensation	307	341	307	320	12	4.0%
11 8 Special personal services payment	0	0	0	0	0	0.0%
12 1 Civilian personnel benefits	12,430	11,831	12,606	14,646	2,040	16.2%
13 0 Benefits for former personnel	0	0	0	0	0	0.0%
Total, Pay	\$51,556	\$49,228	\$62,952	\$67,268	\$4,316	6.9%
21 0 Travel & transportation of persons	\$ 50	\$ 46	\$ 50	\$ 51	\$1	2.5%
22 0 Transportation of things	0	0	0	0	0	2.5%
23 1 Rental payments to GSA	0	0	0	0	0	0.0%
23 2 Other Services	1,840	1,840	1,840	1,886	46	2.5%
23 3 Communication, utilities & misc charges	12,991	12,196	14,991	15,615	625	4.2%
24 0 Printing & reproduction	77	122	77	79	2	2.5%
25 1 Advisory & associate services	32,298	30,719	26,873	32,962	6,090	22.7%
25 2 Other services	142	55	142	1,149	1,008	710.7%
25 3 Other purch of goods & services from gov acc	1,200	1,261	1,550	1,589	39	2.5%
25 4 Operation & maintenance of facilities	0	0	0	0	0	0.0%
25 5 Research and Development Contracts	0	0	0	0	0	0.0%
25 7 Operation & maintenance of equipment	8,742	10,149	8,742	8,960	219	2.5%
25 8 Subsistence and Support of Persons	0	0	0	0	0	0.0%
26 0 Supplies & materials	62	28	62	64	2	2.5%
31 0 Equipment	8,570	7,348	9,035	9,277	242	2.7%
41 0 Grants, subsidies & contributions	0	0	0	0	0	0.0%
42 0 Insurance claims & indemnities	0	128	0	0	0	0.0%
Total, Non-Pay	\$ 65,972	\$ 63,892	\$ 63,362	\$ 71,634	\$ 8,272	13.1%
Total, Office of the Chief Information Officer	\$ 117,528	\$ 113,120	\$126,314	\$ 138,902	\$ 12,588	10.0%

Office of the Chief Information Officer Analysis of Change

(Dollars in Thousands)

	Fiscal 2021	
	Agency Request	
	Funded	
	FTE	Amount
Fiscal 2020 Enacted Budget	361	\$126,314
Non-recurring Costs:		
Mandatory Pay and Related Costs:		
Locality-based comparability pay raise January 2021 @ 3.00%		1,410
Annualization of January 2020 pay raise @ 3.52%		551
Within-grade increases		291
Fiscal 2019 - 2020 FERS pay increase		828
Fiscal 2020 - 2021 FERS pay increase		624
One extra day, 262 vs. 261		249
Total, Mandatory Pay and Related Costs	0	3,952
Price Level Changes		1,542
Program Increases:		
Enterprise Customer Relationship Solution		1,250
Automated Records Management System	2	1,861
Cyber Security Enhancements		3,925
Workstation Procurement		58
Total, Program Increases	2	7,094
Net Increase/Decrease	2	\$ 12,588
Total Budget	363	\$138,902
Total Offsetting Collections	0	0
Total Appropriation	363	\$138,902

Fiscal 2021 Program Changes: \$7.094 million

Workstation Centralization Support: \$0.058 million

The Library is requesting funding of \$58,000 to obtain workstations (including laptops) for the new FTEs requested in fiscal 2021 as part of a centralized, consistent approach to workstation procurement under the Office of the Chief Information Officer (OCIO). In addition to providing initial workstations for the new FTEs, this funding will also provide the foundation for ongoing support for future technical refresh of all the Library's workstations.

A robust workstation replacement program will maintain an average workstation age of four or five years. Furthermore,

this program will in addition support effective deployment of upgrades, allow a consistent procurement schedule, help the Library workforce stay abreast of changing end-user technologies, reduce total inventory, and decrease the range of equipment that must be supported – all improving workstation management and accountability.

The funding requested for the workstation procurement program is associated with the following programmatic increase requests:

Service Unit	Programmatic Increase	Number of Staff	Associated Cost
Office of the Librarian	Library Data Strategy	2	\$ 5,100
Off Of Chief Information Officer	Automated Records Management System	2	5,100
Library Collections and Services Group	Paid Internship Program	1	2,500
U S Copyright Office	Music Modernization Act Staffing	3	7,600
U S Copyright Office	Copyright Royalty Judges Staffing	3	7,600
Congressional Research Service	Science and Technology Research Capacity	12	30,100
Total		23	\$58,000

Customer Relationship Management Solution: \$1.250 million

The Library requests \$1 250 million to implement an enterprise wide Customer Relationship Management (CRM) solution to ensure the most efficient management of critical relationships with current and future Library users and stakeholders. As the project is implemented \$400,000 will non-recur in fiscal 2022, and an additional \$600,000 will non-recur in fiscal 2023, keeping \$250,000 for ongoing operating and maintenance expenses

One key outcome of modernization is better management of those critical user and stakeholder relationships. The Library's IT Program Modernization Plan published March 2018 notes that service units require modernization of the business systems that support their unique missions. This includes modernization efforts to reduce the time required to deliver Congressional Research Service's products in formats most useful to Congress; modernization of the systems supporting the copyright community, governmental entities, and the public at large; and implementation of the Library's vision that all Americans be connected to the Library of Congress by engaging with more users with a variety of needs, maximizing and expediting access to collections, and ensuring enduring access to content.

The CRM tool provides a simple interface for the collection of data that helps businesses recognize and communicate with customers in a scalable way – in other words, it is a technology tool that would enable the Library to manage its user relations in a standardized, cohesive manner.

The Library currently tracks information and interactions with internal and external users, stakeholders, and partners using a variety of methods – most commonly manual lists, but also a few customized software applications that are limited either in scope or capability. This current set of tools does not allow Library staff to collaborate across units or divisions, or interact in a consistent and coordinated manner with shared users. Moreover, the user information maintained in the manual methods (generally spreadsheets) is often outdated, and suffers from a lack of quality and version control. Adduitionally, the manual lists do not allow for advanced features, such as integration with calendaring and reminders, and require multiple entry into other Library systems, which can lead to data errors. Lastly, there is often no easy way to access this information from mobile systems, leading to Library personnel unable to access stakeholder information away from their desks.

An enterprise CRM service will enable Library staff to efficiently manage contact and engagement information and improve relationships with Library users and stakeholders. An enterprise CRM will connect Library user information end-to-end with minimal IT involvement and set a path for sharing of information and services, better service to their users, and greater user satisfaction. Moreover, CRM

systems allow very granular access control and auditing on customer information. Implementing such a system would greatly improve the Library's ability to provide services to its stakeholders and extend its reach to additional stakeholders while improving efficiency and ensuring sensitive information is not inappropriately or inadvertently shared.

Automated Records Management:

\$1.861 million/ 2FTE

The Library requests \$1.861 million in fiscal 2021 for the procurement, implementation, maintenance and continuous support of an Electronic Records Management System (ERMS), with \$1.193 million to non-recur in fiscal 2024. Recurring funding of \$668,000 will support annual software maintenance (\$304,000) and two GS-14 staff (\$364,000) as detailed below.

1. Records Management Program Manager (one - GS-14)

The Records Management Program Manager will lead records management work which includes planning, controlling, directing, organizing, training, promoting, and other activities involved with records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations. In addition, the Records Management Program Manager will lead the implementation and sustanment of the ERMS, consistent with the Library's IT Governance process, IT security policy, and the Library Record Schedule (IRS).

The Records Management Program Manager will ensure that sound records management information governance and accountability measures are in place to ensure compliance with Federal laws and regulations.

2. Records Management Systems Administrator (one - GS-14)

The Records Management Systems Administrator will administer the newly implemented ERMS to include developing and conducting quality control reviews, compliance audits, risk assessments and surveys to measure the effectiveness of the electronic system. Additionally, the Records Management System Administrator will analyze the records management business processes and provide recommendations to improve workflow and create efficiencies by making use of the electronic records management system.

Every day, Library of Congress staff exchange thousands of emails and create hundreds of digital project documents,

spreadsheets, presentations, reports and other records. Every year, the Library transacts millions of dollars in procurements and acquisitions and manages thousands of contracts and other legal documents. These records – including both paper and digital material – are critical to the operations of the Library and are instrumental in preserving the institutional knowledge that allows Library leaders to make informed strategic decisions. The Library has thousands of linear feet of hard copy records and terabytes of digital records stored throughout the agency, containing an array of temporary, permanent, and vital records.

The Library has implemented a strong records management program and made strides towards transitioning records archiving to digital formats. Over the last decade the Library has received progressively higher scores in the National Archives and Records Administration (NARA) annual Records Management Self-Assessment, and with the implementation of a new email management policy in 2016, the Library has been scored highly by NARA for managing email effectively.

However, the updated Federal Records Act and the 2018 Government Reform Plan mandate that NARA will no longer accept paper records from federal agencies after 2022. Federal agencies are expected to automate and manage the archiving of all permanent records digitally. The Library of Congress Office of the Inspector General has noted this requirement and recommended that the Library expedite the acquisition and implementation of an Electronic Records Management System.

Records management progress to date has required intensive staff time and commitment from the Library. The new directive from NARA places a more immediate burden on the Library's Record Management Program to become fully compliant, even as the Library continues the creation of new records material daily.

Electronic Records Management System

The ERMS will:

- Centralize and automate records creation, storage, and disposition for high priority offices in the Library including the Office of the Librarian and the Office of the General Counsel; and
- Meet GSA standards for electronic records manage-

ment solutions, and the Universal Electronic Records Management Requirements from NARA, which outline system requirements for records capture, maintenance and use, disposal, transfer, metadata, and reporting.

The anticipated phased outcomes are as follows.

- Phase 1 – Pilot partial system implementation. By the end of fiscal 2021, the Library will have a fully functioning system running with an initial pilot group, meeting the Library's Records Management requirements and consistent with NARA.

- Phase 2 – Continue pilot and expand system implementation. By the end of fiscal 2022, the Library will evaluate the initial pilot, make system adjustments and increase the pilot population, all consistent with Library and NARA regulations and guidelines.
- Phase 3 – Full system implementation. By the end of fiscal 2023, perform full system implementation, acquire and build out additional system resources to accommodate full implementation.
- Phase 4 – By the start of fiscal 2024, maintain the ERMS, consistent with Library and NARA's guidelines and regulations.

Cybersecurity Enhancements:

\$3.925 million

The Library requests \$3.925 million in fiscal 2021, with \$2.519 million non-recurring in fiscal 2022 and \$1.406 million in recurring funding, to implement and maintain cybersecurity enhancements.

As confidential consultant to the Congress, administrator of the national copyright system, and steward of the nation's cultural history, the Library of Congress takes its responsibility to ensure the IT security of the highly valued digital content entrusted to the Library as a national priority. Whether through the actions of a nation state actor, malicious user, or an unintentional exposure, the loss of sensitive data is a key concern that would significantly affect the Library's mission to the Congress and the nation.

The cybersecurity threat to the Library and legislative branch data has escalated steadily over the last decade, with increasingly complex attacks regularly identified and prevented. To stay ahead of the growing sophistication of the most advanced and persistent threats, the Library must be able to maintain and consistently mature a comprehensive suite of cybersecurity tools and training.

The Library has been working closely with the Legislative Branch Cybersecurity Working Group, which includes all Legislative branch agencies including staff from the House of Representatives and Senate, to establish and implement additional cybersecurity best practices and shared threat intelligence and mitigation. Given the large amount of legislative and other high-value asset data entrusted to the Library, the Library's Office of the Chief Information Officer (OCIO) has taken a leading role in those efforts, which include working to identify and implement new and advanced IT security approaches for protecting legislative high value assets.

Identifying and Securing "High Value Asset" Data

In fiscal 2019, the Library conducted an agency-wide cybersecurity analysis and identified a number of products and services that are required for the efficient protection of confidential congressional data and other digital high value

assets (HVA).

The Library \$3.925 million to implement and maintain the following cybersecurity enhancements to protect congressional and other HVA:

- **Inventory & Determination of Proper Security Controls for Congressional Data**

Requested Funding: \$32,500 in fiscal 2021 and non-recurring in fiscal 2022

Building on the initial work for the introduction of Zero Trust security controls in the Library network, OCIO will conduct a comprehensive inventory to identify all instances of confidential Congressional and Library HVA data and determine the proper level of IT security in compliance with National Institute of Standards and Technology (NIST).

- **Enhanced Role-Based Security Awareness Training**

Requested Funding: \$45,000 in fiscal 2021 and recurring annually

To help prevent the loss of HVA data through user error or social engineering attacks, the Library will expand its information security training for individuals with access to HVA data to include tailored annual role-based training specific for those staff who have access to HVA data. Specific role-based training modules, included within the overarching SANS Institute Information Security training, will be leveraged for staff at high-risk of being targeted for phishing and other social engineering attack techniques.

- **Enhanced Logging of High Value Asset Data**

Requested Funding: \$660,500 in fiscal 2021 and \$410,000 non-recurring in fiscal 2022

OCIO will implement a user event behavior analyt-

ics (UEBA) tool to log all access to HVA data with enough detail to allow timely identification of unauthorized access. The Library's current logging tool provides the information required for general access accountability but does not provide the level of forensic detail necessary for the protection of HVA data. Recurring funding is necessary to support annual licensing and updates for the UEBA tool and the Library's audit logging tool.

- **Enhanced Alerting on High Value Asset Data-sets**

Requested Funding: \$259,800 in fiscal 2021 and recurring

Leveraging the enhanced logging of HVA data, the Library's Security Operations Center will be tasked with reviewing and determining proper alerts for unauthorized or inappropriate activity associated with the data in real-time. To help expedite this initiative and manage regular threat and hardware changes, the Library will add a full-time cybersecurity contract resource to coordinate updated log content, alerts and dashboards.

- **Audit of LOC High Value Asset Security Controls**

Requested Funding: \$32,400 in fiscal 2021 and non-recurring in fiscal 2022

OCIO will contract for a third-party independent audit of Library HVA data security controls to ensure effective implementation and identify any continuing data security weaknesses. The assessment will leverage Federal Information Processing Standards (FIPS) guidance and Department of Homeland Security recommendations to measure success of critical and urgent initiatives.

- **Implementation of Role-Based/Need-to-Know Access**

Requested Funding: \$147,500 in fiscal 2021 and \$135,500 non-recurring in fiscal 2022

With the centralization of Library IT hardware and ongoing transition to virtual system technologies, long standing physical data separation has been reduced. The Library requires a plan to audit current user access to HVA data and to determine how to best implement role-based and need-to-know access. Once completed, the Library will implement a file assurance solution to allow for ongoing tracking of modifications to identified HVA data. Recurring funding is necessary to support the operation and maintenance of the file assurance tool.

- **Enhanced Cloud Data Security**

Requested Funding: \$290,000 in fiscal 2021 and \$12,000

non-recurring in fiscal 2022

OCIO will implement Cloud Access Security Broker (CASB) and End-Point Discovery and Response (EDR) tools in the Library's enterprise Cloud environment to monitor and protect HVA data that is hosted in the Cloud and identify any attempts to use the cloud to bypass Library IT security controls. A CASB allows inspection of data that is placed on Cloud servers, allowing for the identification and removal of any restricted data when it is uploaded. EDR in the Cloud allows for endpoint monitoring and investigation of Cloud-based endpoints. Recurring funding is necessary to support annual licensing and updates for the tools.

- **Implementation of Data Loss and Insider Threat Prevention Alerting**

Requested Funding: \$1.165 million in fiscal 2021 and \$760,000 non-recurring in fiscal 2022

To help detect and prevent data breaches and data ex-filtration transmissions, OCIO will implement an enterprise Data Loss Prevention (DLP) solution. The solution will monitor for and alert the Library about unauthorized attempts to copy or send sensitive data, intentionally or unintentionally, outside of the Library network. Recurring funding is necessary to support annual licensing and updates for the DLP tools.

- **Archival Encryption**

Requested Funding: \$84,000 in fiscal 2021 and non-recurring in fiscal 2022

OCIO will encrypt Library data at rest and in archive to provide an added layer of IT security for HVA data and help prevent data loss.

- **Enhanced Network Asset Control**

Requested Funding: \$830,000 in fiscal 2021 and \$675,000 non-recurring in fiscal 2022

OCIO will implement an enterprise endpoint validation solution to allow more efficient and effective network controls that will guarantee that only approved hardware can access the Library network. This security control helps ensure that malicious actors cannot leverage non-approved hardware to infiltrate the Library network. Recurring funding is necessary to support annual licensing and updates.

- **Evaluation of CRS IT System Data Security Options**

Requested Funding: \$123,300 thousand in fiscal 2021 and non-recurring in fiscal 2022

OCIO will collaborate with the Congressional Re-

LIBRARY OF CONGRESS FISCAL 2021 BUDGET JUSTIFICATION

search Service (CRS) to identify options for the addition of robust role-based security controls for the primary IT system CRS uses to store and internally share confidential congressional data. If the evaluation determines that software development or a new solution is needed, additional funding will be required to implement

- **Evaluation of Physical Security Protections**

Requested Funding: \$255,000 in fiscal 2021 and non-recurring in fiscal 2022

Ensuring that only authorized personnel have access to IT hardware and network controls is an essential element of IT security. However, the Library's buildings are designed intentionally to maximize access for the public and Library staff. To ensure a proper balance, the Library will conduct a comprehensive

evaluation of its physical security and devise a plan to strengthen access controls for sensitive areas.

Critical & Time-Sensitive Needs

Ensuring that strong and effective IT security controls can be implemented and maintained is a key element of IT modernization and the development of a robust, scalable IT infrastructure for the Library. It has been identified as a top priority by Library leadership and congressional oversight. The Library is requesting funding for these cybersecurity enhancements because they have been identified as necessary elements for the security of confidential Congressional and other HVA data that Congress and the nation has entrusted to the Library. These efforts are critical and cannot be conducted in a timely way within base IT funding for the Library without significantly impacting other priority IT modernization and optimization efforts.

Office of the Chief Information Officer

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$138.902 million** for the Office of Chief Information Officer in fiscal 2021, an increase of \$12 588 million, or 10.0 percent, over fiscal 2020. This increase represents \$5.494 million for mandatory pay related and price level increases, and program increases of \$7.094 million and 2 FTEs – [\$1.250 million] for Enterprise Relationship Management Solution, [\$1.861 million and 2 FTE] for Automated Records Management Program, [\$3.925 million] for Cybersecurity Enhancements, and [\$0 058 million] for workstation procurement.

Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2019				Fiscal 2020 Enacted Budget		Fiscal 2021		Fiscal 2020/2021 Net Change		Percent Change
	Operating Plan		Actual Obligations				Request Total				
					Funded FTE	\$	FTE Usage	\$	Funded FTE	\$	
	OCIO	289	\$ 117,528	282	\$ 113,120	361	\$ 126,314	363	\$ 138,902	2	

FUNDING OVERVIEW

In fiscal 2020, the Office of the Chief Information Officer (OCIO) has a budget of \$126.314 million/ 361 FTE (Pay: \$62.952 M / Non-Pay: \$63.362 M) to provide the IT leadership, services and capabilities necessary to support the Library's mission and strategic vision for Congress and the American public

The OCIO budget is divided across the Immediate Office of the Chief Information Officer (CIO) and seven Directorates: Digital Strategy (DSD), IT Governance (ITG), IT Financial Management (ITFM), IT Quality & Performance Management (ITQPM), IT Design & Development (ITD&D), IT Partner Engagement (ITPE), and IT Service Operations (ITSO)

Funded Programmatic Increases:

OCIO Hosting Facilities Challenge

The Library of Congress is transitioning data center operations from the aging Primary Computing Facility (PCF/ DC1) data center in the James Madison Memorial Building to a hybrid-hosting model, which leverages dedicated space at a state-of-the-art Tier III data center outside of the Washington, DC metropolitan area, along with other Library-managed data centers and Cloud services. This new hosting model will ensure that the Library has a secure, flexible, efficient and stable foundation for its technology needs for the next generation. See Appendix B for more detailed information.

Fiscal 2017

- Awarded a multi-year data center transformation support contract for application rationalization and migration planning; and

- Designed the architecture for a new hybrid-hosting network model to provide the Library with a scalable, secure, modern IT infrastructure for the future.

Fiscal 2018

- Developed a comprehensive application inventory with functional and technical data points;
- Established an on-premises data hosting agreement in a Tier III data center;
- Initiated shared services to support network, compute, storage, routing, IT security including monitoring, scanning, and backups;
- Began data center infrastructure build-out, including network, compute, storage, and IT security architecture;
- Established centralized enterprise cloud data management processes and procedures;
- Introduced modern Application Centric Infrastructure (ACI) fabric to provide more flexibility in data connections and allow increased data center automation; and
- Established enhanced infrastructure monitoring & IT security tools/architecture.

Fiscal 2019

- Completed data center and Cloud infrastructure build-out;
- Completed migration of core IT security and operations applications;
- Completed IT security configuration testing and review, and established Authority-to-Operate (ATO) for new data center and enterprise Cloud hosting environments;

- Initiated a coordinated application migration planning and implementation process for 112 applications;
- Began remediation of legacy applications to allow migration to new hosting environments; and
- Began updating legacy hardware operating systems and databases to support migration.

Fiscal 2020

- Complete high-speed high-bandwidth fiber-optic 'ring' to provide data connection across hybrid hosting environment;
- Complete remediation of legacy applications to allow migration to new hosting environments;
- Complete update of legacy hardware operating systems and databases to support migration; and
- Complete migration of production applications from DC1 to new hosting environments;

Fiscal 2021 and Beyond

- Operate and maintain Library data center facilities (DC1, DC2, DC3, and DC4) and cloud/DC5, and shared services efficiently and securely, while supporting a normal technical refresh cycle for infrastructure and application components; and
- Decommission superfluous IT hardware in DC1 and reduce the data center footprint on Capitol Hill to the minimum necessary to support network connectivity, IT security and other IT infrastructure needs

OCIO Information Technology IT Security Enhancements

Beginning in fiscal 2017, the Library moved to centralize and significantly enhance the agency's Information Technology (IT) security protection capabilities.

Fiscal 2017

- Established a centralized IT security office;
- Appointed a single Authorizing Official (AO) – the Deputy CIO – to ensure a holistic view of IT security vulnerabilities and coordinate mitigation efforts;
- Added five full-time federal Information System Security Officers (ISSO) to expand IT security capacity;
- Provides 15 security consultants to support ISSO system monitoring roles; and
- Began planning for enhanced IT security policies and procedures, including multi-factor authentication

Fiscal 2018

- Implemented multi-factor authentication across all Library workstations and networked computers;
- Issued Personal Identity Verification (PIV) tokens to all users and established processes and procedures

for their use;

- Implemented a continuous monitoring strategy for Library IT systems, providing real-time IT security monitoring and faster threat identification and mitigation; and
- Implemented robust review and mitigation of identified IT security weaknesses. Closed over 575 POAMs (Plan of Action and Milestones).

Fiscal 2019

- Maintained robust review and mitigation of IT security weaknesses; closed over 1,000 POAMs;
- Achieved 100 percent ATO for Library IT systems, up from a norm of 35 percent;
- Began to secure authentication for applications by implementing SSO; and
- Continued robust IT security monitoring and mitigation efforts.

Fiscal 2020 and beyond

- Will maintain a robust IT security footprint, meeting or exceeding NIST IT security guidelines and ensuring the continuous monitoring of all Library IT systems for external and internal threats; and
- Begin planning and implementation of a Zero Trust Framework for high value asset data.

Enterprise Investment in IT Modernization

To ensure the long-term viability of the Library's overall information technology operations, the agency requested increased resources for the modernization and ongoing maintenance of the agency's LAN (local area network), WAN (wide area network), and other infrastructure components necessary to enable staff interconnectivity and access to Cloud-shared services.

Fiscal 2018

- Acquired necessary software and telecommunications and automation equipment;
- Funded eleven full-time IT positions to provide ongoing IT modernization and operations support;
- Initiated site survey of Library WiFi and cellular connectivity; and
- Conducted network modernization analysis and planning,

Fiscal 2019

- Completed site survey of Library WiFi and cellular connectivity and developed plan to improve coverage for Library facilities;
- Deployed improved telecommunications equipment and desk phones including VOIP;

- Deployed additional WiFi access points to improve coverage in high-demand areas;
- Enhanced ISP bandwidth for Library data centers and facilities, including DC2, DC4, Landover, Taylor Street, and Little Scholars Child Care Center;
- Improved call center capabilities; and
- Deployed dedicated wireless network for Library mobile devices.

Fiscal 2020 and beyond

- Expand capacity and functionality of staff wireless network for Library facilities to enhance collaboration and communication across Library service units;
- Continue upgrading connectivity among Library buildings, and connectivity beyond Library campus via Internet and Internet II;
- Enhance cellular wireless coverage across Library facilities; and
- Increase productivity and enable mobile workforce with improved virtual private network (VPN) and desktop virtualization.

Workstation Refresh

In fiscal 2019, the Library created a centralized workstation refresh program that updates Library computers in a regular rotation. By centralizing this function, the Library ensures that employees have the up-to-date technologies necessary to maintain productivity and that IT systems remain secure and operable.

Fiscal 2019

- Established centralized workstation refresh program;
- Replaced over 28 percent of Library workstations – 1,576 machines out of a total of 5,500 – focusing on oldest first; and
- Updated employee workstations to Windows 10 operating system.

Fiscal 2020 and beyond

- Maintain annual refresh rate of at least 25 percent of Library workstations;
- Transition to single-machine-per-employee model to reduce overhead and optimize operations and maintenance;
- Enhance the staff mobile computing capability by providing appropriate laptops, 2-in-1s, tablets, and other mobile computing solutions; and
- Continuously evaluate vendor offerings to ensure Library end-user hardware stays current with industry standards of computing.

Data Center Transformation & Modernization Phase II

The Library maintains an extensive information technology (IT) network that supports the agency employees, Congress, federal agencies, the American public, and the global research and education communities. In fiscal 2020, this funding was added to the Library's base IT appropriation to provide necessary support for the operations, maintenance, and security of the enhanced IT network, and ensure robust high availability for the growing collection and use of digital information, and resilient protection from increasingly complex and persistent cybersecurity threats.

Fiscal 2020 and beyond

- Sustain the Library's hybrid hosting environment, including supporting expanded internet capability and bandwidths, network fiber ring lease, and scalable Cloud-based hosting services;
- Establish and maintain a Virtual Network Operations Center to provide 24/7/365 monitoring of network operations that will proactively identify operational and security issues so they can be promptly addressed,
- Expand and maintain a robust ZeroTrust Security model for high value asset data;
- Operate and sustain of the improved staff wireless infrastructure to facilitate improved collaboration among Library service units; and
- Operate and sustain of enhanced metropolitan area network (MAN) and wide area network (WAN) capabilities to maintain expanded facility operations and site contingency operations and recovery.

Congress.gov Enhancements

Congress.gov is the official website for federal legislative data. Beginning in fiscal 2020, funding was appropriated to support congressionally requested enhancements and continuous development of the site. The increase in base funding is directly tied to supporting efforts to more quickly address critical near term issues, such as the required full retirement of the legacy LIS data exchange back-end, and provide continuous development and maintenance to enhance functionality, reliability, and availability of the system.

Fiscal 2020 through fiscal 2022

- Retire Legacy Data Interchange System (previously LIS) by working with legislative data partners to convert data standards towards United States Legislative Markup (USLM) schema;
- Enhance availability, reliability and accessibility with additional IT hardware and network upgrades to support distributed system operation;
- Develop enhanced Congress.gov functionality requested by congressional users, including capacity for

personalization and better integration of data sources such as the Congressional Record Index;

- Develop a mobile app to provide increased accessibility and usability for mobile users; and
- Onboard limited-term legislative data management staff for the Congressional Research Service to support congressional requests for legislative data support.

Fiscal 2023 and beyond

- Maintain continuous development to meet congressional needs with agile delivery of new and enhanced functionality, including increased facility for customization and personalization;
- Maintain operations and maintenance necessary to ensure high availability and reliability of Congress.gov; and
- Continue to improve shared data infrastructure across Legislative branch agencies.

PROGRAM OVERVIEW

The Office of the Chief Information Officer (OCIO) is the agency's centralized hub of technology professionals working to transform the Library of Congress into a data-driven and digitally enabled institution. Under the direction of the Chief Information Officer, OCIO builds, develops and sustains the information technology (IT) necessary for the Library to meet its mission to Congress and the American people, and provides the strategic leadership, governance, and management for technical innovation across the enterprise. It also delivers IT security, network and technology infrastructure operations and end-user services for all Library employees.

Fiscal 2019 Accomplishments

With the culmination of IT centralization in October 2018, OCIO focused in fiscal 2019 on maturing IT Governance, improving processes and procedures, and transitioning from stabilization and optimization efforts towards a multi-year Library-wide IT modernization program.

In fiscal 2019, with the budget of \$117.528 million, CIO accomplished the following.

Immediate Office of the CIO

- Provided the leadership and vision for the stabilization, optimization, and modernization of Library's information technology
- Continued to mature the centralization of all IT activities across the Library.
- Significantly improved IT security for the Library with the implementation of multifactor authentication across Library users, and the review and IT se-

curity testing of 100 percent of Library systems and applications, bringing the Library fully in-line with NIST guidelines.

- Published both an IT Business Continuity and Disaster Recovery (BCDR) policy and a directive, establishing the roles and responsibilities for IT BCDR efforts within the Library. The directive provides specific guidance on how to prepare IT systems for the event of a disruption or disaster.
- Successfully closed 58 IT recommendations from GAO and OIG. OCIO has implemented 263 out of 340 GAO and OIG recommendations since 2015, and is working diligently to address the remaining recommendations.

Digital Strategy Directorate (DSD)

- Building on the release of the Library's first comprehensive digital strategy in October 2018, DSD expanded efforts to communicate the new digital strategy and model innovative uses of technology through LC Labs activities and collaborations
- LC Labs continued its work to help the Library enable computational use of collections content and metadata. LC Labs focused on encouraging use of the API access to LOC.gov materials, 25 million downloadable bibliographic records, the text of 13 million digitized newspaper pages, and contributing to the analysis necessary to further collection readiness.
- Launched By the People, a crowdsourcing program that invites the public to transcribe and tag images of handwritten text in the Library's collections. By the end of the year, By the People had inspired more than 12,000 digital volunteers who transcribed over 50,000 pages of manuscripts, letters and other historical material.

IT Governance Directorate (ITG)

- Revamped the Library's IT Governance structure to ensure technology is strategically aligned to meet Library mission and goals. Established new or expanded cross-Library boards including the Technology Strategy Board, the Product Governance Board, the IT Finance Working Group, and the Technology Architecture Board.
- Implemented the OCIO fiscal 2019 - 2023 Directional Plan in May 2019.
- Matured the IT planning process, shifting from annual to multi-year strategic planning. Prioritized more than 90 IT activities that can be addressed as resources become available.

IT Financial Management Directorate (ITFM)

- Refocused IT investment governance as a multi-year

planning and execution endeavor rather than an annual fiscal budgetary management activity.

- Synced IT budgetary and acquisitions data calls with Library-wide timelines
- Increased transparency of the agency IT spend by providing new views of spend data (run and change the business and the OMB portfolio structure).
- Automated IT acquisitions workflow process in ServiceNow.

IT Quality & Performance Management Directorate (ITQPM)

- Improved service performance reporting.
- Reformatted and enhanced the Library's Service Catalog to expand usability and provide Library staff with a comprehensive list of available services.
- The Library's Records Management Program received a rating of 92 percent (low risk =90-100 percent). In addition, the Library received a low risk rating for managing agency email with 15 points out of 16 total and a Maturity Model Score of 3.75 out of 4.

IT Design & Development Directorate (ITD&D)

- Supported continuous development and increased accessibility and usability for Library web sites.
 - Collaborated with CRS, the Law Library, and congressional staff and stakeholders to complete 16 major releases of Congress.gov, including releases to support a Congressional mandate and a new Congress.
 - Worked with divisions across the Library to enhance the Library's flagship web property, LOC.gov, with new content and features.
 - Provided new functionality and content templates for CRS.gov and the public portal crsreports.congress.gov.
- Provided agile development and user experience design for Library IT modernization efforts:
 - Led the ongoing development efforts for Copyright IT modernization and the creation of the Enterprise Copyright System (ECS).
 - Supported ongoing integration of the new CRS Integrated Research and Information System (IRIS).
 - Worked with CRS' American Law Division to design, develop, and release a new web site devoted to the Constitution Annotated ("CONAN").
 - Collaborated with the U.S. Copyright Office and Library Services to develop and release Stacks, a web-based application that provides

secure onsite access to rights-restricted materials for Library staff and reading room users.

- Developed a new mobile app for Library collections content.

IT Partner Engagement Directorate (ITPE)

- Managed OCIO engagement with Library service unit leadership and other stakeholders across the Library, including coordination of IT acquisition, development, and maintenance activities.
- Matured the Library's IT Project Management Life Cycle (PMLC) processes and procedures and provided project management oversight for all major IT projects, including Copyright IT modernization, CRS IRIS, and the modernization of IT systems for the National Library Services for the Blind and Print Disabled (NLS).
- Managed end user services, maintaining 24/7 service desk support for Library staff, and routine operations and maintenance for workstations and other technical devices.
- Conducted comprehensive annual inventory of workstations and other IT hardware. Initiated annual workstation refresh cycle, with the replacement of 28.65 percent of the Library's workstations, exceeding the initial goal of 25 percent.

IT Service Operations Directorate (ITSO)

- Maintained the Library's IT infrastructure, including hardware, network, storage, and databases necessary to support the routine operations of the Library. Supported operations and maintenance for 183 IT systems and applications, over 365 physical and 2,750 virtual servers, and more than 85 petabytes of data across four data centers and the Cloud.
- Completed the physical build-out and established the data architecture for the Library's new hybrid hosting environment, including the new Tier III Redstone-Turner data center (DC4) and enterprise Cloud environment. Conducted application migration planning for all Library IT systems and applications. Began initial transfer of applications to the Library's new state-of-the-art data center and enterprise Cloud environment.
- Supported IT modernization efforts and implementation of new IT systems and applications with necessary infrastructure and network adjustments.
 - Established new network environments for the CRS IRIS system.
 - As part of NLS modernization transitioned the Braille and Audio Reading Download (BARD) digital download system to the

Cloud to begin testing how to support growing numbers of NLS patrons.

Fiscal 2020 Priority Activities

In fiscal 2020, OCIO will continue the optimization of Library technology while expanding IT modernization efforts across the enterprise. It will also continue to mature oversight and governance of IT activities for the agency and support increased digital innovation.

In fiscal 2020, with the budget of \$126.314 million, CIO priorities include the following.

Immediate Office of the CIO

- Continue to provide the leadership and vision for technology at the Library and mature the centralization of all IT activities.
- Continue to improve IT security, including the expansion of single sign-on capabilities for Library applications and systems, and additional activities to implement a zero-trust framework for Library IT systems and data. Continue transition Library IT systems to continuous monitoring.
- Enhance transparency and communication of IT activities, processes and procedures.
- Maintain an agency IT Disaster Recovery Plan, IT contingency plans, and coordinate disaster recovery exercises.

Digital Strategy Directorate (DSD)

- Continue to support adoption of Library's digital strategy and model innovative uses of technology through LC Labs activities and collaborations.
 - Formalize the Lab's Agile piloting and experimentation model to better facilitate service unit-driven experimentation.
 - Expand Innovators in Residence program to show new and exciting uses for Library collections and expertise.
- Transition the successful By the People crowdsourcing program to Library Services, moving innovative effort out of pilot phase and into permanent status.

IT Governance Directorate (ITG)

- Continue to mature the IT Governance structure and the composition and activities of cross-agency bodies that impact strategic and tactical IT resource decision making.
- Improve the usability of enterprise architecture data for decision makers and improve data visualization to inform dependencies.

IT Financial Management Directorate (ITFM)

- Continue implementation of Technology Business

Model (TBM) for the Library, including the initial deployment of an automated TBM tool to support reporting on IT cost and value.

- Identify IT assets that are critical in providing service capability and take steps to maximize their reliability and availability throughout their lifecycle, from procurement to disposal.

IT Quality & Performance Management Directorate (ITQPM)

- Continue to mature IT service tracking and reporting, including piloting the integration of service monitoring tools to create on-demand service status dashboard.
- Continue to improve the functions and usability of the Library's IT service catalog.

IT Design & Development Directorate (ITD&D)

- Maintain continuous development efforts to increase functionality, accessibility and usability for Library websites, including Congress.gov, LOC.gov, and CRS.gov.
- Retire legacy Legislative Information System (LIS).
- Provide agile development and user experience design for Library IT modernization efforts:
 - Continue development efforts for Copyright IT modernization and the creation of the Enterprise Copyright System (ECS).
 - Support ongoing integration of the new CRS Integrated Research and Information System (IRIS).
 - Support initial planning for modernization of Library Services platforms.

IT Partner Engagement Directorate (ITPE)

- Continue to manage OCIO engagement with Library service unit leadership and other stakeholders across the Library, including coordination of IT acquisition, development, and maintenance activities.
- Continue to mature the Library's PMLC processes and procedures and provide project management oversight for all major IT projects, including Copyright IT modernization, CRS IRIS, and the modernization of IT systems for NLS.
 - Implement reporting mechanisms to monitor planned versus actual costs and review project deliverables for compliance with the full project management lifecycle
 - Improve project cost estimation and tracking by including estimates and actual costs for infrastructure and non-OCIO project team members, and collect actual non-personnel project costs using contract data

- Continue support for end user services, maintaining 24/7 service desk support for Library staff, and routine operations and maintenance for workstations and other technical devices.
- Conduct comprehensive annual inventory of workstations and other IT hardware and refresh 25 percent of Library workstations.

IT Service Operations Directorate (ITSO)

- Maintain core IT infrastructure, including hardware, network, storage, and databases, necessary to support the routine operations of the Library.
- Initiate Library-wide mobile upgrade.
- Continue support for IT modernization efforts and the implementation of new IT systems and applications with necessary infrastructure and network adjustments.
- Implement Software Defined Networking and Storage to support DevOps and Agile deployments.
- Continue Data Center Transformation effort, including the implementation of a high-speed data connection between all Library data centers, and the migration of production IT systems out of the outdated Madison Data Center (DC1).
- Modernize legacy Library Data Centers to standardize enterprise infrastructure.

Fiscal 2021 Priority Activities

In fiscal 2021, OCIO will continue modernization activities for Library business units, while maintaining and improving the core IT infrastructure to support day-to-day Library service to users and staff. It will also continue efforts to expand digital innovation and participation and maintain strong IT governance and management.

In fiscal 2021, with the budget request of \$138,902 million, CIO priorities include the following

Immediate Office of the CIO

- Continue to provide the leadership and vision for technology at the Library and mature the centralization of IT activities.
- Continue to improve IT security and maintain continuous monitoring of Library IT systems.
- Continue to enhance transparency and communication of IT activities, processes and procedures.
- Maintain an agency IT Disaster Recovery Plan, IT contingency plans, and coordinate disaster recovery exercises.

Digital Strategy Directorate (DSD)

- Continue to support adoption of Library's digital strategy and model innovative uses of technology

through LC Labs activities and collaborations. Continue to build capacity to support service units, explore pathways for collaborating with internal and external partners, and standardize operating procedures

- Initiate research necessary to drive informed long-term strategic decision-making around emerging technologies and digital processing for Library stakeholders
- Pilot application of machine learning in the Library's institutional context.

IT Governance Directorate (ITG)

- Continue to mature the IT Governance structure and the composition and activities of cross-agency bodies that impact strategic and tactical IT resource decision making.
- Continue to improve Library IT planning processes to provide consistent information to support IT governance bodies. Strengthen linkage between IT project planning and execution and the governance processes. Advance OCIO's risk analysis, monitoring, and mitigation processes.
- Enhance Data Architecture Program to share Library business and system data models Library-wide according to defined standards.

IT Financial Management Directorate (ITFM)

- Improve IT financial data fidelity and accuracy of TBM source data and operationalize TBM tool for full agency use.
- Review critical IT asset base periodically to identify ways to optimize costs and maintain alignment with business needs. Link the Acquisition Plan and the Project Portfolio to facilitate improved project cost estimates and acquisition planning
- Mature control of IT procurement and contracts, including an expanded pool of qualified CORs and development of a strategic sourcing plan to guide the development and use of IT contract vehicles to more effectively meet the business needs of the evolving and modernizing Library.

IT Quality & Performance Management Directorate (ITQPM)

- Continue to mature IT service tracking and reporting and expand use of quality improvement process (QIP) to enhance IT service delivery.
- Continue to improve the functions and usability of the Library's IT service catalog.
- Pending resource allocation, procure and implement an Electronic Records Management System (ERMS) and expand the Library's records management program in accordance with NARA's directive.

IT Design & Development Directorate (ITD&D)

- Maintain continuous development efforts to increase functionality, accessibility and usability for Library websites, including Congress.gov, LOC.gov, and CRS.gov.
- Provide agile development and user experience design for Library IT modernization efforts, including Copyright IT modernization, CRS IRIS, NLS BARD, and Library Services platforms. Modernize platform services, standards, and processes to ensure that Library systems are built using common architectures and best practices in User-Centered Design and Development Operations (DevOps).
- Retire legacy systems as new technologies become available to ensure future usability.

IT Partner Engagement Directorate (ITPE)

- Continue to manage OCIO engagement with Library service unit leadership and other stakeholders across the Library, including coordination of IT acquisition, development, and maintenance activities.
- Continue to implement the Library's PMLC processes and procedures and provided project management oversight for all major IT projects, including Copyright IT modernization, CRS IRIS, and the modern-

ization of IT systems for NLS.

- Continue support for end user services, maintaining 24/7 service desk support for Library staff, and routine operations and maintenance for workstations and other technical devices.
- Conduct comprehensive annual inventory of workstations and other IT hardware and refresh 25 percent of Library workstations.

IT Service Operations Directorate (ITSO)

- Maintain core IT infrastructure, including hardware, network, storage, and databases, necessary to support the routine operations of the Library. Continue efforts to enhance Library mobile and Wi-Fi networks.
- Continue support for IT modernization efforts and the implementation of new IT systems and applications with necessary infrastructure and network adjustments
- Assess Library storage plan and establish new storage environment to modernize and enhance support of the Library's digital strategy.
- Complete Data Center Transformation effort, transitioning production IT systems to new hybrid hosting environment.

Library Collections and Services Group

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

Library Collections and Services Group
Resource Summary
(Dollars in Thousands)

Appropriation/PPA	Fiscal 2019				Fiscal 2020 Enacted Budget		Fiscal 2021		Fiscal 2020/2021 Net Change		Percent Change
	Operating Plan		Actual Obligations				Request Total				
	Funded FTE	\$	FTE Usage	\$	Funded FTE	\$	Funded FTE	\$	Funded FTE	\$	
LCSG		\$-		\$-	11	\$3,011	12	\$4,015	1	\$1,005	33.4%
Library Services	1,314	220,900	1,227	217,256	1,314	220,954	1,314	233,024	0	12,070	5.5%
Law Library	88	17,343	86	17,145	88	17,328	88	22,603	0	5,275	30.4%
Total, LCSG	1,402	\$238,243	1,313	\$234,401	1,413	\$241,294	1,414	\$259,643	1	\$18,349	7.6%

**Library Collections and Services Group
Summary By Object Class**

(Dollars in Thousands)

Object Class	Fiscal 2019		Fiscal 2020 Enacted Budget	Fiscal 2021 Request Total	Fiscal 2020/2021 Net Change	Percent Change
	Operating Plan	Actual Obligations				
00 0 Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0.0%
Total, Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0.0%
11 1 Full-time permanent	-	-	\$130,461	\$136,217	\$5,757	4.4%
11 3 Other than full-time permanent	-	-	3,682	3,829	147	4.0%
11 5 Other personnel compensation	-	-	2,408	2,502	94	3.9%
11 8 Special personal services payment	-	-	32	33	1	4.0%
12 1 Civilian personnel benefits	-	-	41,724	47,718	5,994	14.4%
13 0 Benefits for former personnel	-	-	0	0	0	0.0%
Total, Pay	-	-	\$178,306	\$190,300	\$11,992	6.7%
21 0 Travel & transportation of persons	-	-	\$949	\$978	\$30	3.1%
22 0 Transportation of things	-	-	369	380	11	2.9%
23 1 Rental payments to GSA	-	-	0	0	0	0.0%
23 2 Other Services	-	-	389	408	19	4.9%
23 3 Communication, utilities & misc charges	-	-	850	878	28	3.3%
24 0 Printing & reproduction	-	-	1,478	1,516	37	2.5%
25 1 Advisory & associate services	-	-	6,223	6,542	319	5.1%
25 2 Other services	-	-	10,807	11,526	718	6.6%
25 3 Other purch of goods & services from gov acc	-	-	8,403	8,758	355	4.2%
25 4 Operation & maintenance of facilities	-	-	5	5	0	5.0%
25 5 Research and Development Contracts	-	-	0	0	0	0.0%
25 6 Medical Care	-	-	0	0	0	4.0%
25 7 Operation & maintenance of equipment	-	-	3,080	3,159	79	2.6%
25 8 Subsistence and Support of Persons	-	-	8	8	0	2.5%
26 0 Supplies & materials	-	-	2,248	2,308	60	2.7%
31 0 Equipment	-	-	26,855	31,517	4,661	17.4%
41 0 Grants, subsidies & contributions	-	-	1,099	1,126	27	2.5%
42 0 Insurance claims & indemnities	-	-	0	0	0	0.0%
44 0 Refunds	-	-	222	233	11	5.0%
Total, Non-Pay	-	-	\$62,986	\$69,343	\$6,357	10.1%
Total, Library Collections and Services Group	-	-	\$241,294	\$259,643	\$18,349	7.6%

Library Collections and Services Group Analysis of Change

(Dollars in Thousands)

	Fiscal 2021	
	Agency Request	
	Funded	
	FTE	Amount
Fiscal 2020 Enacted Budget	1,413	\$241,294
Non-recurring Costs:	0	0
Mandatory Pay and Related Costs:		
Locality-based comparability pay raise January 2021 @ 3.00%		1,493
Annualization of January 2020 pay raise @ 3.52%		3,816
Within-grade increases		787
One extra day, 262 vs. 261		691
Fiscal 2019 - 2020 FERS pay increase		2,684
Fiscal 2020 - 2021 FERS pay increase		1,570
Foreign Service Nationals (FSN) Pay Adjustment		293
Total, Mandatory Pay and Related Costs	0	11,334
Price Level Changes		1,747
Program Increases:		
Compact Shelving Replacement - Quad B		4,370
Paid Internship Program	1	899
Total, Program Increases	1	5,269
Net Increase/Decrease	1	\$ 18,349
Total Budget	1,414	\$259,643
Total Offsetting Collections	0	0
Total Appropriation	1,414	\$259,643

Fiscal 2021 Program Changes: \$5.269 million

Paid Internship Program:

\$0.899 million/1 FTE

The Library requests \$899,000 to support the Internship and Fellowship Programs (IFP). In order to expand access to a broader and more inclusive talent pool, the funding request includes \$95,000 for one FTE to increase support for the Library's internship and fellowship opportunities, \$276,000 to support 38 Junior Fellows, \$290,000 to support 38 internships, and \$238,000 in contractual funding.

FTE will support the IFP program as follows:

1. Administrative Specialist (one - GS-9)

The incumbent will use a variety of automated systems to perform tasks ranging from personnel actions to budget and contracting transactions. Performs and monitors administrative management requirements, including applying administrative policies and maintaining various systems. Assists in reviewing and responding to budget calls, basic administrative expenses, and disseminating guidelines for administrative matters.

The additional funding capacity of priority programs is requested to increase the percentage of the Library's paid internships to provide greater access, thereby creating candidate pools of broader socioeconomic status. These programs provide experiential learning opportunities for students, recent graduates and scholars. Currently, the Library's unpaid internships are nearly double the paid internships averaging over 200 unpaid per year versus about 120 paid per year. If approved, these funds would allow the agency to structure a greater number of paid internship opportunities over the number of unpaid.

In recent appropriations bills, the Congress has supported paid internship programs for both chambers. The requested funding would expand the opportunity for candidates whom would not otherwise be able to participate in public service due to their socioeconomic status.

The IFP provides program development and management, promotion, consulting and policy development centrally for the Library. In that role, IFP helps to provide talent pipelines that bring new skills to the Library and leverages the knowledge of early career individuals in addition to providing interns world class learning experiences. The Library has recently been recognized nationally for its work in this area by the Hispanic Association of Colleges and Universities.

Building on initiatives to date, adding financial compensation capacity for interns will help bring the Library into alignment with Congress' intent to increase opportunities for paid internships to attract a broader socioeconomic talent pool on Capitol Hill and more closely align with the national trend to reduce or eliminate unpaid internships. Structuring the IFP program in this way will ensure a proactive approach

in attracting a broader set of millennial talent who may decide to join the Library's workforce as Library temporary or permanent employees, contractors, and/or at minimum, become lifelong users, connectors and advocates for the agency. These experiences can also benefit other Libraries, research and academic institutions.

This funding will allow IFP to address the next critical strategic steps in the implementation of its directional plan and provide FTE capacity to efficiently implement new procedures and workflows to administer expanded programs and initiatives. Part of this expansion will include an additional FTE who will administer a new \$238,000 multi-year procurement contract to provide services for the recruitment, selection, administration, and management of a broad socioeconomic talent pool of students and emerging professionals.

IFP manages the Library's signature Junior Fellows Program, which is highly visible and attracts student and recent graduate talent. This program is primarily funded with non-appropriated funding and the longevity of the program is highly dependent on the sustainment of those funds. By adding 38 paid Junior Fellow internships, IFP will provide a stable funding component that supports the goal of ensuring this signature program is permanently supported. The Junior Fellows Program enables participants to experience the integrated analog and digital collections and services of the world's largest, all-inclusive library. Working under the direction of Library curators and specialists in various divisions, fellows explore digital initiatives and increase access to the institution's unparalleled resources. Since its inception, Junior Fellows have identified hundreds of historical, literary, artistic, cinematic and musical gems representing the Library's rich cultural, creative and intellectual assets.

This request will also allow IFP to provide funding to Library service units to bring on temporary FTEs to serve as interns, and decrease the percentage of unpaid internships at the agency. The additional 38 paid internships will meet the high demand for interns to work side-by-side with staff across the Library over the summer on a wide variety of projects critical to the agency's mission. In addition to compensation, the internships will provide invaluable career development opportunities in a number of occupations, including Acquisitions and Collection Development, Business Continuity and Disaster Recovery, Cataloguing and Metadata Management, Communications and Marketing, Digital Collections Management, Financial Management, Information Technology Investment Planning, Preservation Reformatting, Procurement and Contracts Management, Reference and Instruction, and Space Utilization and Design.

Rebalancing Preservation Strategies:

\$0.000 million

The Library of Congress requests Congressional approval to realign \$5.5 million, of the total Preservation budget - \$31.859 million in fiscal 2020, that currently supports the mass deacidification process in the preservation program and assign those funds to other preservation approaches to rebalance the overall preservation strategy. If approved, this request dedicates \$2.5 million to preservation needs in the physical collections that mass deacidification cannot address. A further \$3 million will enhance capacity and capabilities for digital collections preservation and the core information technology infrastructure required by those activities. Funding realignment is a cost-effective means for the Library to better support the many and diverse types of collections that are not candidates for deacidification, but are high priorities for use under the Library's Strategic Plan. Further, as the nature of the collections and preservation requirements and methods available have evolved, it is an appropriate time

for rebalancing preservation investment

Deacidification has been an effective treatment for a subset of acidic paper materials; however, environmentally optimized storage systems can meet or exceed those benefits at lower per unit cost. A comprehensive preservation program must mitigate a vast array of other risks: damage and deterioration; theft or vandalism; environmental risks; natural disaster or infrastructure problems; obsolete media, and now, the scale and complexities of digital preservation.

At the end of fiscal 2020, we propose to retire the mass deacidification program (\$5.5M), having treated approximately 90 percent of top priority materials and 70 percent of all potential treatment candidates. This request will rebalance the Library's portfolio of preservation strategies to meet the changing needs of the collections, as described in the following table:

Table 1 Reprogramming Detail

Activities	Types of collections	Amount	Details
Conservation	Special collections (physical)	\$1,017,250	Pay=\$669,750: 5 FTE. Non-pay = \$347,500: Technical consulting, equipment, and consumable supplies;
Collections Security and Management (Inventory Control)	Special and General Collections (physical)	\$400,000	All Non-pay: Business process improvements and expanded inventory control, through service contracts and workflow automation.
Reformatting	General collections (physical and digital)	\$1,082,750	Pay=\$437,550: 4 FTE. Non-pay = \$645,200: reformatting contract services and reformatting equipment
Digital Content Management	Digital	\$2,000,000	Pay=\$1,538,000: 13 FTE. Non-pay = \$482,000. Business Analysis
Infrastructure	Digital	\$1,000,000	All Non-pay: Digital collections management systems and services.
Total		\$5,500,000	

Background

The Library has invested in research and development efforts for both deacidification and preservation environments over the past 40 years. As those strategies have developed over time, the Library evaluated them in technical terms and in terms of cost effectiveness. During fiscal 2019, following guidance from the Inspector General, the Library commissioned an external cost study comparing these approaches. The results were galvanizing, and informed this re-balancing request for two reasons. First, the mass deacidification program has reached a significant milestone. By the end of the current contract, approximately 90 percent of top priority collections will have been treated and the global publishing industry has significantly reduced acidic paper usage. Second, the external cost study concluded that

the fully inclusive lifetime cost per unit for deacidification is now approximately 2.8 times higher than the cost for environmentally optimized storage, for comparable preservation outcomes.

Revisiting Mass Deacidification

Deacidification played a significant role in mitigating risks to general collections, especially materials printed from the mid-20th century into the early 21st century. The Library conducted significant research projects in mass deacidification during the 1980s and, in 2001, initiated its current deacidification program as a 30-year initiative. Congress' Appropriations acts have directed that spending for deacidification should be maintained at \$5.5 million per year. With 90 percent of top priority materials treated and

more than 70 percent of all potential treatment candidates completed by the completion of the current contract, the Library's deacidification program is at a point of substantial completion. Deacidification made a significant contribution to preservation of the national collection but it is no longer an economical way to preserve collections at scale.

Independent of fiscal concerns, deacidification is not an applicable strategy for all collection types. Brittle or severely damaged items cannot be deacidified, nor is the treatment suitable for the majority of the Library's most distinctive special collections in the Gold and Platinum categories. In addition, the number of treatment candidates continues to decline. The global publishing industry has largely shifted to using acid-free papers, and in 2013, the Library revised its projected needs within the 30-year program downward from 8.5 to 7.5 million items. The declining number of candidates within the growing collections means additional overhead to locate suitable items as time goes on. Overall, the Library is experiencing diminishing returns from the deacidification program in its current form as available deacidification candidates decrease and the cost per unit increases.

Environmentally Optimized Storage

During the latter part of the 20th century, there were technical and cost barriers to construction and operation of environmentally optimized facilities at suitable scale for the Library's needs. In the 21st century, facilities design and technology have developed considerable and there is a robust body of research and field results in environmentally optimized preservation measures. Purpose-built facilities, like the Library's operations at Ft. Meade, significantly slow the rate of paper decay. The cool, dry environment of Ft. Meade performs roughly four to five times better than conventional library stacks, at less than half the per unit cost of deacidification.

The environmentally optimized facility at Ft. Meade provides a highly cost effective approach that addresses storage requirements while also slowing physical deterioration, supplanting the need for an ongoing large-scale deacidification program. The Forrester study concluded that the fully inclusive lifetime cost per unit for deacidification is approximately 2.8 times higher than the cost for environmentally optimized storage. That yields a cost savings of approximately \$80 million by addressing the remaining deacidification candidates through environmentally optimized storage.

Rebalancing the Library's Portfolio of Preservation Strategies

Preservation activities are central to the Library's mission to provide a "universal and enduring" collection. To fulfill its mission, the agency obtains information in the multitude

of formats, media, and languages that have been used throughout the world and across time, and the Library must be capable of delivering these materials to its users in their original form or reformatted to meet contemporary needs. Additionally, in the 21st century, the Library has identified digital services as a crucial investment area and developed its first Digital Strategy. A diversified portfolio of preservation strategies is necessary to address the varied types of damage and deterioration that occur over the lifecycle of the Library's expansive, multi-format collections.

Expanding Lifecycle Care of Physical Collections

To accommodate these trends, the realigned funds proposed for physical collections will build capacity in three areas: conservation of the Library's most significant artifacts, digital reformatting of fragile and irreplaceable items, and modernization of the library's collection management supply chain. Taken together, these investments will improve safety and security of the collection, and enhance the scope and reliability of user services.

Optimized storage systems are the bedrock of physical collections care: regardless of the condition or inherent properties of Library collection materials, they have to be stored. Preservation facilities use a design that slows the rate of chemical decay, limits light exposure, and protects against fire, security threats, and natural disasters. The full benefits of optimal storage are only realized if the Library has effective means to deliver resources when and where users need them, and to deliver them in the optimal format for their needs. These collections management systems are a crucial preservation function that provides chain of custody throughout the process of fulfilling user requests. Hand in hand, reformatting investments provide the flexibility for physical or digital delivery depending on user needs and preferences. Re-balancing the preservation strategy will accelerate work to modernize the agency's collection services workflows and supply chains through process improvement and investment in automated materials handling systems, and advance the Library's overall efforts to bring the collection into full inventory control.

Enhancing Capabilities through the Digital Preservation Lifecycle

Digital collection items require a high level of active maintenance throughout their lifecycle. In fiscal 2017 funding for the Digital Content Management Section was approved to provide the core expertise required for the agency's success in rapidly expanding digital preservation requirements.

The library is receiving more and more born digital content every year. Even as the Library selectively acquires from available potential digital content it continues to see dramatic

growth in the born digital collections, including with the web archiving program, receipt of electronic serials received through mandatory deposit, and eBooks received through the Cataloging-in-Publication program. At the same time, digitization is the essential method for preservation reformatting of analog collection material. Archival and manuscript collections from the late 20th and early 21st centuries contain millions of files on obsolete digital storage media, and reformatting projects transferred over 10 million to the agency's preservation systems in fiscal 2019, increasing their discoverability and availability for users.

As a result of these digital acquisition and digitization trends, it has become apparent that the Library must overhaul and improve its digital content management and preservation systems, and continue to expand staffing to support digital collection management activities, services, and workflows. Realigning funds to digital preservation will enable a generational advance in the agency's digital capabilities, providing increased expertise and infrastructure necessary for digital collections to serve a central role in the Library's future.

Compact Shelving Replacement - Quad B:

\$4.370 million

The Library is requesting four-year spending authority of \$4.370 million for the Law Library (LAW) of Congress's second phase of a three phase initiative to replace shelving in all of Law's collection storage areas. The first phase was funded in fiscal 2017 (\$4.039 million). This second phase replaces the shelving in in quadrant B (Quad B) in LAW's collection storage area in the sub-basement of the James Madison Memorial Building (JMMB). Due to the size of the entire Law collection, the Library is phasing the replacement of shelving on a quad-by-quad basis. Four-year funding authority is requested for Quad B based on the Library's experience with the Quad C replacement project and the flexibility that was required to accommodate scheduling complexities among various Library construction projects with the Architect of the Capitol (AOC); the availability of space to accommodate the transfer in/out of collections materials; and potential construction delays that may occur during the Quad B buildout. Thus funding request will non-recur in fiscal 2022. New funding will be requested for phase 3, the final quadrant, in a future budget request.

Since the construction of the JMMB in 1980, the majority of the Law Library's collection is housed in four quadrants ("Quads"). The entire collection occupies 75,524 square feet, or the equivalent of 1.5 football fields. Quad B alone consists of the U.S. Federal law collection on 240 movable carriages (3,615 total shelving carriages or uprights). The Federal law collection includes primary legal resources, U.S. codes, Federal law reporters and treatises in the "KF" classification. Each day, approximately 55 items are retrieved and 650 items shelved in the sub-basement collection. Items from the Federal law collection support Congressional patrons, the U.S. Supreme Court, U.S. federal agencies, Library of Congress staff, inter-library loan requests, and the Law Library's public reading room. All parts of the collection must be available to provide access to the world's largest and most comprehensive collection of international, foreign, national, and comparative legal resources.

In 1981 automated compact shelving was originally installed in the JMMB sub-basement by a company that is no longer in business. The life-span of the compact shelving at that time was estimated at 25 years. Through the years, the Law Library has taken a number of steps to extend the safety and usefulness of the installed shelving. However now, at 38 years, the equipment is obsolete and the Law Library has experienced a number of problems. There are no additional steps to take to extend the safety and usefulness of the obsolete equipment.

To alleviate the most frequent problems, all moveable ranges in the Law Library stacks were retrofitted in 2001 and 2002 with a manual, hand crank system. However, this change created a number of new, unanticipated problems. Manual hand cranks were installed at the ends of shelving carriages. Because carriages are long and carriage rails were not deep enough, the carriages have become less stable and do not move evenly. This has resulted in many misaligned shelving carriages that led to uneven aisles between carriages (some aisles are wider and some are narrow). In narrower aisles, staff cannot enter between the carriages to retrieve or re-shelve books. In addition, normal wear and tear have led to missing/broken brakes, misaligned rails, all contributing to additional worker safety concerns.

Several important concerns will be addressed by replacing the existing shelving system:

- **Personnel safety issues:** Most importantly, employee safety is the biggest concern. The Law Library employs multiple hearing-impaired staff who cannot hear audible signals when shelves are moved. Also, stack services personnel are required to enter aisles between shelves with a book cart, since book carts can protect them if shelves are closing. Book carts do not fit in aisles that are too narrow. Even when requested items are needed from a narrow aisle, staff will enter anyway without a cart (against the safety requirement).
- **Collection access issues:** In some cases, some aisles are so narrow, collection items are not retrievable. This initiative will alleviate "overflow" areas, enabling the re-shelving of materials in call number order to provide

better accessibility of the materials and more efficient use of staff time.

- Collection storage issues: Because shelving units are beyond repair, and replacement parts unavailable, the Law Library has lost collection storage space. This, at a time, when Law Library stacks are at capacity. This initiative will not only provide unimpeded access to Law collections, enabling better service to patrons for Quad B materials but also will greatly improve the use of space.

- There are no additional steps that can be taken to extend the safety and usefulness of the obsolete equipment.

In addition to the delivery and installation of manufactured shelving built to specification requirements, there are some Quad B room preparations that will be funded by and coordinated with the AOC. The Library has confirmed sufficient swing space is available to temporarily house collection material while Quad B shelving is replaced. Temporarily stored books will continue to be readily accessible, without any delay in service.

LCSG - Basic

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

Library Collections and Services Group Basic Summary By Object Class

(Dollars in Thousands)

Object Class	Fiscal 2019		Fiscal 2020 Enacted Budget	Fiscal 2021	Fiscal 2020/2021 Net Change	Percent Change
	Operating Plan	Actual Obligations		Request Total		
00 0 Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0.0%
Total, Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0.0%
11 1 Full-time permanent	-	-	\$1,926	\$2,503	\$577	29.9%
11 3 Other than full-time permanent	-	-	0	0	0	0.0%
11 5 Other personnel compensation	-	-	13	13	0	3.6%
11 8 Special personal services payment	-	-	0	0	0	0.0%
12 1 Civilian personnel benefits	-	-	606	782	177	29.2%
13 0 Benefits for former personnel	-	-	0	0	0	0.0%
Total, Pay	-	-	\$2,545	\$3,298	\$754	29.6%
21 0 Travel & transportation of persons	-	-	\$19	\$19	\$0	0.8%
22 0 Transportation of things	-	-	0	0	0	2.4%
23 1 Rental payments to GSA	-	-	0	0	0	0.0%
23 2 Other Services	-	-	0	0	0	0.0%
23 3 Communication, utilities & misc charges	-	-	11	11	0	0.4%
24 0 Printing & reproduction	-	-	13	13	0	0.8%
25 1 Advisory & associate services	-	-	405	654	248	61.2%
25 2 Other services	-	-	6	8	2	33.2%
25 3 Other purch of goods & services from gov acc	-	-	0	0	0	3.0%
25 4 Operation & maintenance of facilities	-	-	0	0	0	0.0%
25 5 Research and Development Contracts	-	-	0	0	0	0.0%
25 6 Medical Care	-	-	0	0	0	0.0%
25 7 Operation & maintenance of equipment	-	-	0	0	0	0.0%
25 8 Subsistence and Support of Persons	-	-	0	0	0	0.0%
26 0 Supplies & materials	-	-	6	6	0	1.5%
31 0 Equipment	-	-	5	5	0	2.2%
41 0 Grants, subsidies & contributions	-	-	0	0	0	0.0%
42 0 Insurance claims & indemnities	-	-	0	0	0	0.0%
44 0 Refunds	-	-	0	0	0	0.0%
Total, Non-Pay	-	-	\$466	\$717	\$251	53.8%
Total, Library Collections and Services Group	-	-	\$3,011	\$4,015	\$1,005	33.4%

Library Collections and Services Group Basic Analysis of Change

(Dollars in Thousands)

	Fiscal 2021	
	Agency Request	
	Funded	
	FTE	Amount
Fiscal 2020 Enacted Budget	11	\$3,011
Non-recurring Costs:	0	0
Mandatory Pay and Related Costs:		
Locality-based comparability pay raise January 2021 @ 3.00%		35
Annualization of January 2020 pay raise @ 3.52%		14
Within-grade increases		7
One extra day, 262 vs. 261		0
Fiscal 2019 - 2020 FERS pay increase		24
Fiscal 2020 - 2021 FERS pay increase		14
Foreign Service Nationals (FSN) Pay Adjustment		0
Total, Mandatory Pay and Related Costs	0	95
Price Level Changes		11
Program Increases:		
Paid Internship Program	1	899
Total, Program Increases	1	899
Net Increase/Decrease	1	\$ 1,005
Total Budget	12	\$4,015
Total Offsetting Collections	0	0
Total Appropriation	12	\$4,015

LCSG - Basic

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$4.015 million** for the Library Collections and Services Group in fiscal 2021, an increase of \$1.005 million, or 33.4 percent, over fiscal 2020. This increase supports \$0.106 million in mandatory pay related and price level increases, and a programmatic increase of \$0.899 million/ 1 FTE for the Paid Internship Program.

Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2019				Fiscal 2020 Enacted Budget		Fiscal 2021		Fiscal 2020/2021 Net Change		Percent Change
	Operating Plan		Actual Obligations				Request Total				
	Funded FTE	\$	FTE Usage	\$	Funded FTE	\$	Funded FTE	\$	Funded FTE	\$	
LCSG	-	\$ -	-	\$ -	11	\$3,011	12	\$4,015	1	\$1,005	33.4%
Total, LCSG Basic	-	\$ -	-	\$ -	11	\$3,011	12	\$4,015	1	\$1,005	33.4%

FUNDING OVERVIEW

In fiscal 2020, the Library Collections and Services Group (LCSG) was established via a realignment that implements oversight of Library Services, Law Library, National Library Service for the Blind and Print Disabled (NLS), and part of the Office of the Librarian. This reorganization created a base budget of \$3.011 million/11 FTE (Pay - \$2.545 M/ Non-Pay - \$0.466 M).

PROGRAM OVERVIEW

The Office of the Deputy Librarian for Library Collections and Services Group provides oversight for activities of three service units: Library Services, the Law Library; and the National Library Service for the Blind and Print Disabled (NLS). The LCSG's oversight also extends to the John W. Kluge Center, Internship and Fellowship Programs (IFP), and the Office of the Director of LCSG Operations (LCOSO).

Under the direction of the Deputy Librarian for Library Collections and Services, the group identifies and implements a coordinated vision, leverages systems and expertise, creates economies of scale and improves administrative functions across the group.

The Deputy Librarian manages LCSG programs by providing cross-service units guidelines to establish goals, and performance standards and by working with service unit heads and directors to develop and execute LCSG policies.

LCSG leadership and staff collaborate with the entire Library to execute its programs and represent the group in interactions with the Library's other service units as well as in the Executive, Operations, and other Library-wide committees. In addition, the LCSG with a broader oversight view will play a significant role in the coordination and integration of initiatives that impact collections and services across multiple service units. Outside of the Library, the Deputy Librarian is a principal representative to both national

and international library, information and related industry groups.

The Office of the Director of LCSG Operations provides accurate, efficient and effective administrative and technical support to: meet service unit program objectives; fulfill budgetary, logistical and personnel obligations; and achieve LCSG strategic goals. The office provides operational support necessary to carry out core responsibilities and meet goals and objectives.

Internship and Fellowship Program (IFP) advances experiential learning and professional development by promoting awareness of the Library's range of internship, residency, fellowship, and volunteer opportunities

John W. Kluge Center brings together top scholars from around the world to the Library of Congress and makes their knowledge, creativity, and wisdom accessible to the U.S. Congress and the American people. This is a substantial research program that is funded by non-appropriated funds.

LCSG provides oversight to LS, NLS, and LAW. Individual sections are reported separately.

Fiscal 2019 Accomplishments

In fiscal 2019, LCSG did not formally exist as a separate Program, Project, and Activity (PPA) within the Library. The following accomplishments were completed in fiscal 2019 under the guidance of LCSG in preparation for full implementation in fiscal 2020.

Deputy Librarian for Library Collections and Services Group

Core Services

- Fiscal 2019 was the inaugural year for the Library Collections and Services Group (LCSG), placing Library Services (LS), Law Library (LAW), the National Library Service for the Blind and Print Disabled (NLS), the John W. Kluge Center (Kluge), and the Library's Interns and Fellowship Programs (IFP) under

one administrative umbrella. On May 7, 2019, the Librarian approved the centralization of the LCSG administrative and operational functions into a new structured titled “LCSG Operations”. Initial efficiencies were achieved by adding all service units into one resource management and planning tool and creating standardized financial reports across LCSG for budget formulation and execution, staff hiring, travel, information technology and contracts in support of LCSG program offices and the Library’s infrastructure units. Administrative oversight of time and attendance, leave administration, transit subsidy, performance management and space projects brought together the staff expertise from the different service units providing outstanding customer service.

Internship and Fellowship Programs (IFP)

- Successfully completed the first phase of a project to create an online web site portal to centralize the Library’s experiential learning opportunities.
- Launched the Archives, History, and Heritage Advanced internship, supported by Madison Council members Craig and Diane Welburn. This paid internship enables Howard University students to work alongside Library staff members in making the Library’s African American history collections more widely accessible.
- The Hispanic Association of Colleges and Universities (HACU) awarded the Library of Congress with its 2019 Outstanding Public Sector Partner Award.

Special Initiatives

- In March 2019, LCSG launched an electronic bi-weekly newsletter titled “Off the Shelf,” synthesizing news from all LCSG units. On May 7, 2019, the Librarian approved a proposal to centralize LCSG administrative and operational functions into a new structure titled “LCSG Operations”.

Fiscal 2020 Priority Activities

In fiscal 2020, with the budget of \$3.011 million LCSG’s priorities include the following.

Deputy Librarian for Library Collections and Services Group

Core Services

- Complete the reorganization to consolidate Financial Management and Employee Resource Management and Planning staff from Library Services and Law Library, under one administrative umbrella into the Office of the Director of Operations, LCSG.
- LCSG Operations - Explore the consistent application of administrative policies and practices across

LCSG: establish and maintain a current inventory of all LCSG workspace to provide up-to-date, accurate information about current seating to inform staffing and facility projects; create standard operating procedures for onboarding/hires; analyze and standardize financial management business processes across LCSG and diversify and expand funding; analyze and standardize contract and COR management across LCSG; and continue to implement centralized financial reporting, creating significant efficiencies and effectiveness of operations.

Intern and Fellowship Program

- Upgrade of the Internship and Fellowship Program Portal on the Library of Congress, enterprise-wide, public-facing website to automate the application process and capture user data centrally for analysis and reporting; lead a new contract to support expanded access to a more diverse talent pool for internships; expand and improve professional development opportunities that target critical skills for interns, fellows, and residents for career readiness and engagement with the Library.

Special Initiatives

- Through a joint campaign to crowdsource the transcription of Spanish Legal Materials from LS and the Law Library, LCSG is expanding the *By the People* transcription program to foreign languages such as Spanish, Latin, and other Spanish dialects.

Fiscal 2021 Priority Activities

In fiscal 2021, with the budget of \$4 015 million requested, the LCSG’s priorities include the following.

Deputy Librarian for Library Collections and Services Group (LCSG)

Core Services

- Continue to build consistent application of administrative policies and practices across LCSG.
- Complete the analysis and standardization of financial management business processes, contract and COR management and implement self-service reports using a data visualization tool. Development of an overarching directional plan for LCSG, combining similar goals, but retain goals that are unique to each service unit to achieve additional efficiencies.

Intern and Fellowship Program

- Sustain and continue to improve upon signature summer internship program unique to the Library of Congress and increase the number of paid internships at the agency to be aligned with a national trend to reduce or eliminate unpaid internships.

LCSG - Library Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

Library Services Resource Summary (Dollars in Thousands)											
Appropriation/PPA	Fiscal 2019				Fiscal 2020 Enacted Budget		Fiscal 2021		Fiscal 2020/2021 Net Change		Percent Change
	Operating Plan		Actual Obligations				Request Total				
	Funded FTE	\$	FTE Usage	\$	Funded FTE	\$	Funded FTE	\$	Funded FTE	\$	
Associate Librarian for Library Services (ALLS)											
ALLS	208	\$ 39,308	193	\$ 35,458	208	\$ 37,542	208	\$ 39,534	0	\$ 1,993	5.3%
Total, ALLS	208	\$ 39,308	193	\$ 35,458	208	\$ 37,542	208	\$ 39,534	0	\$ 1,993	5.3%
Acquisitions and Bibliographic Access (ABA)											
ABA	430	\$ 74,046	400	\$ 71,424	430	\$ 74,378	430	\$ 78,670	0	\$ 4,292	5.8%
Purch. Of Library Mater		16,179		18,903		16,179		16,643	0	464	2.9%
Total, ABA	430	\$ 90,225	400	\$ 90,327	430	\$ 90,557	430	\$ 95,314	0	\$ 4,756	5.3%
Special, General and International Collections											
Special, General and International Collections	441	\$ 53,324	418	\$ 52,030	441	\$ 53,652	441	\$ 57,082	0	\$ 3,430	6.2%
American Folklife Center	25	3,739	25	3,391	25	3,757	25	3,978	0	221	5.9%
Veterans History Project	19	2,518	19	2,218	19	3,587	19	3,720	0	133	3.7%
Total, Spec, Gen and Int.	485	\$ 59,581	462	\$ 57,639	485	\$ 60,996	485	\$ 64,780	0	\$ 3,783	6.2%
Preservation (PRES)											
Preservation	191	\$ 26,286	172	\$ 28,494	191	\$ 28,359	191	\$ 33,396	0	\$ 7,037	26.7%
Mass Deacid Prgm		5,500		5,336		5,500		0	0	(5,500)	-100.0%
Total, Preservation	191	\$ 31,786	172	\$ 33,830	191	\$ 31,859	191	\$ 33,396	0	\$ 1,537	4.8%
Total, Library Services											
Total, Library Services	1,314	\$ 220,900	1,227	\$ 217,256	1,314	\$ 220,954	1,314	\$ 233,024	0	\$ 12,070	5.5%

Library Services
Summary By Object Class
(Dollars in Thousands)

Object Class	Fiscal 2019		Fiscal 2020 Enacted Budget	Fiscal 2021 Request Total	Fiscal 2020/2021 Net Change	Percent Change
	Operating Plan	Actual Obligations				
00 0 Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0.0%
Total, Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0.0%
11 1 Full-time permanent	\$119,060	\$113,196	\$119,946	\$124,784	\$4,837	4.0%
11 3 Other than full-time permanent	3,506	2,875	3,506	3,646	140	4.0%
11 5 Other personnel compensation	2,313	2,804	2,313	2,403	90	3.9%
11 8 Special personal services payment	0	0	0	0	0	0.0%
12 1 Civilian personnel benefits	38,310	37,613	38,310	43,724	5,414	14.1%
13 0 Benefits for former personnel	0	107	0	0	0	0.0%
Total, Pay	\$163,190	\$156,595	\$164,075	\$174,557	\$10,481	6.4%
21 0 Travel & transportation of persons	\$ 905	\$ 774	\$ 905	\$ 934	\$29	3.2%
22 0 Transportation of things	368	248	368	378	11	2.9%
23 1 Rental payments to GSA	0	0	0	0	0	0.0%
23 2 Other Services	389	326	389	408	19	4.9%
23 3 Communication, utilities & misc charges	829	736	829	857	28	3.4%
24 0 Printing & reproduction	1,417	1,520	1,417	1,453	36	2.5%
25 1 Advisory & associate services	5,705	7,800	5,705	5,773	68	1.2%
25 2 Other services	9,475	7,865	8,469	8,677	208	2.5%
25 3 Other purch of goods & services from gov acc	8,386	8,651	8,386	8,741	355	4.2%
25 4 Operation & maintenance of facilities	5	8	5	5	0	5.0%
25 5 Research and Development Contracts	0	0	0	0	0	0.0%
25 6 Medical Care	0	0	0	0	0	4.0%
25 7 Operation & maintenance of equipment	3,080	2,642	3,080	3,159	79	2.6%
25 8 Subsistence and Support of Persons	8	0	8	8	0	2.5%
26 0 Supplies & materials	2,221	1,996	2,221	2,281	59	2.7%
31 0 Equipment	23,601	25,984	23,775	24,433	658	2.8%
41 0 Grants, subsidies & contributions	1,099	1,099	1,099	1,126	27	2.5%
42 0 Insurance claims & indemnities	0	0	0	0	0	0.0%
94 0 Financial Transfers	222	1,012	222	233	11	5.0%
Total, Non-Pay	\$ 57,710	\$ 60,661	\$ 56,879	\$ 58,467	\$ 1,589	2.8%
Total, Library Services	\$ 220,900	\$ 217,256	\$ 220,954	\$ 233,024	\$ 12,070	5.5%

Library Services Analysis of Change

(Dollars in Thousands)

	Fiscal 2021 Agency Request	
	Funded	
	FTE	Amount
Fiscal 2020 Enacted Budget	1,314	\$220,954
Non-recurring Costs:	0	0
Mandatory Pay and Related Costs:		
Locality-based comparability pay raise January 2021 @ 3.00%		1,377
Annualization of January 2020 pay raise @ 3.52%		3,521
Within-grade increases		726
One extra day, 262 vs. 261		645
Fiscal 2019 - 2020 FERS pay increase		2,473
Fiscal 2020 - 2021 FERS pay increase		1,446
Foreign Service Nationals (FSN) Pay Adjustment		293
Total, Mandatory Pay and Related Costs	0	10,481
Price Level Changes		1,589
Program Increases:		
Total, Program Increases		
Net Increase/Decrease	0	\$ 12,070
Total Budget	1,314	\$233,024
Total Offsetting Collections	0	0
Total Appropriation	1,314	\$233,024

LCSG - Library Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$233.024 million** for Library Services in fiscal 2021, an increase of \$12.070 million, or 5.5 percent, over fiscal 2020. This increase supports mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2019				Fiscal 2020 Enacted Budget		Fiscal 2021		Fiscal 2020/2021 Net Change		
	Operating Plan		Actual Obligations				Request Total				
	Funded FTE	\$	FTE Usage	\$	Funded FTE	\$	Funded FTE	\$	Funded FTE	\$	Percent Change
Library Services	1,314	\$220,900	1,227	\$217,256	1,314	\$220,954	1,314	\$233,024	0	\$12,070	5.5%

FUNDING OVERVIEW

In fiscal 2020, Library Services' (LS) has a budget of \$220.954 million/ 1,314 FTE (Pay - \$164.075 M/ Non-Pay - \$56.879 M) to build, steward, describe and share the Library's collections in ways that directly support our users and allow reuse of that information by partners and organizations worldwide. Of this funding \$4.019 million/40 FTE was appropriated in fiscal 2019 for ongoing support the Special Collection Arrearage Reduction initiative

LS budget is broken into six organizations: the Office of the Associate Librarian for Library Services (ALLS), the Acquisitions and Bibliographic Access Directorate (ABA), the General and International Collections Directorate (GICD) and the Special Collections Directorate (SCD), and the Preservation Directorate (PRES).

- ALLS – \$37.542 million / 208 FTE
- ABA – \$90.557 million / 430 FTE
- GICD and SCD – \$60.996 million / 485 FTE
 - GICD and SCD budget and corresponding FTE will be established as separate directorates in the fiscal 2020 operating plan.
- PRES – \$31.859 million / 191 FTE

Starting in fiscal 2020, a reorganization changes ALLS by eliminating its Office of the Chief Operating Officer (OCCO) – transferring budget and human resources staff to the Library Collections and Services Group (LCSG) and transferring the Digital Collections Management and Services Division, the ILS Program Office, and the Business Analysis Team to the new Digital Services Directorate (DSD). DSD's budget will be established in the fiscal 2020 operating plan.

Funded Programmatic Increases

Special Collection Arrearage Reduction

Fiscal 2019

- All 40 staff have been hired and started work;
- 3.7 million items processed; and
- Net backlog reduction of 2.5 million, from 27.3 million to 24.5 million.

Fiscal 2020 and Fiscal 2021

- Support 40 FTE and ongoing training;
- Performance goal of three million items processed, net reduction of one million per year; and
- LS will continue to use the permanent funding, with its staff and contract resources, to process collection items and reduce the overall arrearage.

PROGRAM OVERVIEW

The Office of the Associate Librarian for Library Services plans, coordinates, and leads the activities of the four Library Services directorates. Additionally, ALLS is the organizational location of the Collection Development Office (CDO); and the National Audio-Visual Conservation Center (NAVCC), which includes the Motion Picture, Broadcasting & Recorded Sound Division (MBRS). CDO performs a variety of policy, administrative, coordination and analytical tasks to ensure that the Library's collecting policies are in place and the resulting analog and digital collections acquired or selected reflect the appropriate breadth and depth of knowledge available in all media, languages, and regions of the world. NAVCC, located in Culpeper, Virginia, preserves and provides access to a comprehensive collection of the world's audio-visual heritage of moving images, and recorded sound. MBRS also supports reading rooms on Capitol Hill that provide access and infor-

mation services to the moving image and recorded sound collections.

A fiscal 2020 reorganization of the LS Office of the Chief Operations Officer (OCCO) resulted in the Digital Services Directorate (DSD), which contains the ILS Program Office (ILSPO), the Digital Collections Management and Services Division (DCMS), and the Business Analysis Team (BAT). DCMS provides leadership, infrastructure support, and coordination for the acquisition, management, and preservation of digital collections content. ILSPO manages multiple enterprise-wide systems in support of the Library's collections and metadata throughout their lifecycles, and develops and implements technology solutions while ensuring integration with the Library's IT environment.

The Acquisitions and Bibliographic Access Directorate acquires and makes accessible digital and physical materials for the Library's collections. ABA provides leadership, policy, standards, and training nationally and internationally and contributes to mitigation of risks to the Library's collections through inventory and physical security controls. ABA administers the Books for the General Collections (GENPAC) funding that supports the acquisition publications of legislative and research value and serves as the purchasing agent for the separate fund for the purchase of law collections (Books Law) materials. Direct services to publishers and libraries include distributing surplus books to nonprofit institutions nationwide, leading Program for Cooperative Cataloging (PCC), acquiring library materials from developing countries for United States libraries on a cost recovery basis, and managing the Cataloging-in-Publication (CIP) and Dewey Decimal Classification programs. ABA administers the Library's six overseas offices that acquire, catalog, and preserve collections from over 75 countries with developing economies. During the past year, ABA has provided professional training and courseware to staff on-site and remotely, including training to apply the new cataloging data exchange standard BIBFRAME.

In fiscal 2019, the former Collections and Services Directorate was split into two directorates: General and International Collections Directorate, which includes seven divisions (African and Middle Eastern; Asian, European; Hispanic; Researcher and Reference Services; Science, Technology & Business; and Serial & Government Publications) and Special Collections Directorate, which includes seven divisions (Geography & Map; Manuscript; Music; Prints & Photographs Division; Rare Book & Special Collections; and American Folklife Center (AFC), including the Veterans History Project (VHP)). These directorates have direct responsibility for more than 160 million of the over 168 million items in the Library of Congress collections. International in scope, these collections represent a uniquely rich array of human experience, knowledge, creativity, and achievement, touching on almost every realm of endeavor from government and science to the arts and history. Archivists, catalogers, and collection managers in SCD and GICD are the primary stew-

ards for the collection. These professionals organize, house, and describe the special-format materials, and continue to play a critical role in collection security and inventory control. Sharing the collections by providing timely reference services and research guidance is another major responsibility; the knowledgeable librarians in SCD and GICD meet congressional, federal government, and public information needs by connecting people to collections through 17 research centers on Capitol Hill and through online reference service, interlibrary loan, online research guides, and social media channels. The directorates also actively encourage new scholarship and inspire creative and innovative work by organizing public programs that connect users to the Library's collections and by hosting numerous interns and fellows each year who work with Library staff and collections.

The Preservation Directorate is responsible for the stewardship of the Library's collections, ensuring their availability in the present and into the future. PRES accomplishes this through direct treatment of collection items, reformatting materials when their original formats become unusable or obsolete, and through a coordinated program of collections management activities. PRES staff operate collections storage facilities including the Library's preservation repository at Ft. Meade and interim storage facilities at Cabin Branch, and collaborate with custodial divisions to manage the storage and security of collections in the Jefferson, Adams, and Madison Memorial buildings. Staff perform item level corrective treatment of rare or at-risk special collection materials; treat general and reference collections materials; prepare newly acquired collections for use; support microform, paper facsimile, and digital reformatting programs; and administer the Mass Deacidification Program. All program activities are executed in the context of large scale preservation strategies to mitigate deterioration and extend the lives of collection items, including environmental monitoring and control of collection storage spaces; inventory control and storage management; and a continuous 365 day program for collections emergency response and recovery. PRES scientists support these efforts through testing and quality assurance programs; conducting research and forensic analysis; and developing standards and specifications.

Library Services' three service unit-specific goals regarding the Library's universal collection of knowledge and creativity are:

- Advance user access to knowledge and creativity – acquiring, describing, and preserving the Library's collections in order to make more collections more available to more users. We work internally on our collections and externally with other libraries and cultural institutions to develop standards, data, and processes to make the nation's collections available on-site and off-site, to current and future users.
- Advance the practice of librarianship and the delivery of library service to users – enhancing services to diverse audiences and increasing engagement with

researchers, librarians, and archivists in new ways. We offer assistance to researchers, work with others to increase user engagement with Library collections, and collaborate to make our expertise and services available to connectors throughout the library and cultural heritage communities.

- Improve services for users, applying data collection and analysis – refining and expanding data collection and analysis efforts to help us better understand the impact of our services and strategically strengthen our capabilities. Will continue to support modernization of our systems and services, and align our organization and staff resources with the Library's new and ongoing priorities.

Fiscal 2019 Accomplishments

Associate Librarian for Library Services (ALLS)

In fiscal 2019, with the budget of \$39.308 million, ALLS accomplished goals, including the following.

Core Services

- CDO continued leading the implementation of the Library's multi-year Digital Collecting Plan. Reflecting the growing importance of acquiring digital content, CDO also established and filled a new Digital Collections Development Coordinator position.
- NAVCC completed a multi-year project to build out the Library's first ever multi-track audio preservation room and workflows; recordings by pioneering multi-track innovator Les Paul were the first multi-track collection preserved by the Library.
- NAVCC signed a groundbreaking agreement with Paramount Pictures that allows online streaming and public screenings for more than 100 silent feature films produced by Paramount – the first time any major Hollywood studio has allowed such broad access.
- OCOO's Web Archiving Team, with assistance from the Library's Office of the Chief Information Officer (OCIO), processed a significant backlog of web archives not previously described or searchable on loc.gov, releasing 4,240 new web archives across 43 collections.
- OCOO completed and prepared for public launch the Digital Collections Management Compendium, which provides essential Library-wide guidance for the full lifecycle management of digital content in the Library's collections.
- BAT issued a report on the role of librarianship in supporting the Library's strategic plan and digital strategy. The report resulted in the Chief Information Officer's recognition of the inextricable link

between the advanced use of technology and the information profession.

Special Initiatives

- ALLS finalized and implemented the LS Fiscal Years 2019 – 2023 Directional Plan, including sharing and discussing the plan with staff at all levels through online materials and over a dozen Chief and Town Hall meetings
- Working with the Library's Office of the Chief Information Officer, NAVCC and BAT led Library Services' efforts to modernize its audiovisual collections management system. Staff documented the current state of all audio-visual collection workflows, performed market research through an RFI, and finalized all requirements and the statement of work for the follow-on RFP. Once implemented, the new Audio-Visual Collections Management System (AVCMS) will be a single source for audio-visual collection metadata across Library collections.
- OCOO's Digital Content Management section served as product owner for the development and launch of stacks.loc.gov, a new platform for on-site access to rights-restricted content. Currently 15,528 books and 40,998 newspaper issues are available through the system, including digital materials received by the Copyright Office.

Acquisitions and Bibliographic Access (ABA)

In fiscal 2019, with the budget of \$90.225 million, ABA accomplished the following

Core Services

- Following Library Collection Policy Statements, acquired approximately 2.2 million items including 1.4 million manuscripts; 289,000 books; and 188,000 sound recordings.
- Cataloged 237,441 items, enabling access to the associated content.
- Distributed 84,189 books through the Surplus Books Program (SBP), which distributes books not needed for the Library's collections to other American libraries, government agencies, and charities.

Special Initiatives

- Continued progress in developing BIBFRAME (Bibliographic Framework) to replace the Machine Readable Cataloging (MARC) standard for capturing online bibliographic data. Progress included: solidifying BIBFRAME version 2.0 model, expanding BIBFRAME Pilot 2 from 45 staff to over 100, supporting fifteen PCC libraries funded by a Mellon Grant to test linked data using the BIBFRAME model, and

supplying the LC-created BIBFRAME editor to these institutions for their testing.

- Completed installation of the new Overseas Field Office Replacement System (OFORS), installed in all six offices that supports collection development, acquisition, description and billing for the Library and for its Cooperative Acquisitions Program participants.

General and International Collections and Special Collections (GICD and SCD)

In fiscal 2019, with the budget of \$59.581 million, GICD and SCD accomplished the following.

Core Services

- Continued to build the national collections to chronicle the American experience and inspire creativity. New acquisitions included collections from: soprano Jessye Norman, the AIDS Memorial Quilt/NAMES Project; Harlem photographer Shawn Walker; American artist Edward Gorey; polar explorers Finn and Edith Ronne; *Africa Imagined, Africa Explored: a Selection of Maps from the Hugh Solomon Collection*; Adam Matthew Digital collections of historical primary source materials on a wide array of topics and cultures; Peder Horrebow's *Basis astronomiae* [the basis of astronomy] (Copenhagen, 1735), and a collection of documents on first great silver mine in Mexico.
- With expanded opportunities for the House Administration Committee's Wounded Warrior Fellowship Program, Gold Star Families, and Native American veterans to contribute interviews, VHP added 3,773 new collections.
- Digitization efforts of materials from SCD and GICD directorates have made a number of collections available online, including: the Gandhara Scroll; the Yongle Encyclopedia commissioned by Zhu Di; a digital collection of Chinese Rare Books; The Abdul-Hamid II Collection of Books and Serials; The Eltaher Palestinian Pamphlet Collection; the Omar Ibn Said Collection; Persian Language Rare Materials Manuscripts; the James A. Garfield papers; Olmsted Associates records; Blue Ridge Parkway Folklife Project Collection; and Women's Suffrage Sheet Music.
- Created large number of online resources to help researchers discover and use collections. New finding aids helped users locate archival material in collections from U.S. Secretary of State Madeleine Albright, NBS News correspondent Irving R. Levine, athlete Jim Bouton, the Look Magazine Picture Research File, jazz pianist and composer Billy Strayhorn, folk musicians John and Ginny Dildine, and

several others. Story Maps, such as "D-Day Journeys: Personal Geographies of D-Day Veterans" and "Educated and Enslaved: The Journey of Omar Ibn Said," allowed users to explore online content in engaging visual and spatial presentations.

- Supported over 1,000 public programs and events that included exhibits, gallery talks, concerts, lectures, film screenings, displays, workshops, book talks, and briefings and tours for dignitaries. Notable efforts included the exhibit *Shall Not Be Denied: Women Fight for the Vote*, displays at Congressional Dialogue Dinner Series, the Earth and Space Science Lectures series in partnership with NASA, the Gershwin Prize for Popular Song, Summer Concerts on the Lawn, and AFC's Homegrown Concerts.
- Fulfilled over 74,000 loans to Congress, government agencies, researchers, and interlibrary loan clients, and more than 62,000 to support agency work and research.

Special Initiatives

- Collaborated with units across LS and OCIO to implement a component of the Library's Digital Strategy, developed and executed the Library's new "By the People" crowdsourcing initiative, which gave the public opportunity to help transcribe materials online from Mary Church Terrell, Abraham Lincoln, Clara Barton, Branch Rickey, soldiers in the Civil War, and Alan Lomax.

Preservation (PRES)

In fiscal 2019, with the budget of \$31.786 million, PRES accomplished the following.

Core Services

- Carried out more than 9.4 million standard preservation actions kept the Library collections accessible through binding, conservation, mass deacidification, and reformatting. Activities included: over 32,000 conservation treatments; over 1 million items assessed for risks and treatment needs; enabling digitization by examining over 250,000 items and completing over 20,000 treatments to ready them for digitization, reformatting 7.6 million pages; and recovering over one million files from over 8,000 obsolete digital storage media.
- Transferred 33,850 inventory-controlled collection containers to Ft. Meade Storage Module 5.
- Concluded the Additional Service Copies (ASC) program, which reduced overall storage costs and overcrowding in the stacks by transferring over 400,000 duplicate, low-demand volumes to the Surplus Books program or to non-profit literacy organizations.

- Supported cultural heritage preservation work across the interagency through the FEMA Heritage Emergency National Task Force (HENTF) and the Cultural Heritage Coordinating Committee (CHCC), including recovery efforts from Hurricane Maria
- Initiated new contracts for reformatting legal gazettes and foreign newspapers and initiated digital transition plan ahead of planned fiscal 2020 timeline, with goal to switch from all microfilm production in favor of digital reformatting before fiscal 2023.

Special Initiatives

- In collaboration with other Library units, the Architect of the Capitol began construction of Ft. Meade Storage Module 6, focusing on site preparation work
- Installed the new Gutenberg bible display case, the only one of its kind in the world, designed by the Library as a self-contained environmental system that places this national treasure on display while simultaneously keeping it in preservation storage.

Fiscal 2020 Priority Activities

Associate Librarian for Library Services (ALLS)

In fiscal 2020, with the budget of \$37.541 million, ALLS priorities include the following.

Core Services

- To better inform collections acquisition decisions, CDO plans to continue to expand the collections usage reporting system, using business intelligence software.
- CDO will serve as business owner of the Acquisition Request Tool, an online method to optimize processes for the recommendation of materials to be acquired. Plans are to develop and test the tool over the course of the year.
- NAVCC will improve its operational capabilities in fulfillment of its preservation and access missions by planning and implementing workflows for processing Digital Cinema Packages (DCPs) of theatrical motion pictures for preservation, as well as commissioning a new file transcoder to support the Library's audiovisual preservation master file formats at the highest resolution.
- NAVCC plans to improve on-site and off-site access to its collections by completing upgrades to the Audio Lab critical listening rooms and the high-throughput audio preservation suites, as well as launching the new version of the National Jukebox, with new recordings and playlists added on a quarterly basis

Special Initiatives

- LS will continue its response to the Inspector General's 2019 report on Collection Services Workflow by providing counts of digitized materials, broadening its examination of its arrears, and creating a collections services flow map and implementation mechanism for continuous monitoring of the delivery of materials to end users and identify critical paths in acquiring and making items available.
- NAVCC will work with BAT, AFC, VHP, and the Library's OCIO on the second year of procuring the Library's next-generation Audio-Visual Collections Management System, with the vendor award expected during second quarter fiscal 2020, followed by data migration and workflow planning. LS will lead data migration for the AVCMS implementation.
- CDO will lead a project to evaluate the possibility of sharing access to a selection of the Library's purchased and leased electronic resources with Legislative Branch offices through collaborative licensing.

Acquisitions and Bibliographic Access (ABA)

In fiscal 2020, with the budget of \$90.557 million, ABA priorities include the following.

Core Services

- Plans to acquire 1,125,000 collection items by purchase, exchange, gift, copyright deposit, transfer from other agencies, and cataloging in publication.
- Provide cataloging access to 270,000 collection items.
- Expand the State Government Web Archiving Pilot to formal implementation to cover twenty states, to ensure that the Library continues to acquire important state government documents that are increasingly being issued only as online content.

Special Initiatives

- Improve BIBFRAME tools to enhance the BIBFRAME Pilot 2 and solidify BIBFRAME as the long-term replacement for the MARC format for cataloging data. Work will include providing support to the over 20 institutions testing BIBFRAME as their implementation of linked open data.

Digital Services Directorate (DSD)

Core Services

- In support of the development of a new digitization plan, DSD will analyze digital scanning equipment inventory and requirements, conduct an analysis of scanning activity across various units, and identify space and renovation needs to support digitization. It plans to also review LS digital storage planning

and data collection methods in order to develop new guidance affirming responsibilities for storage planning processes, and complete a report summarizing findings and recommendations for digital storage

Special Initiatives

- Work in coordination with OCIO for issuance of a Request for Proposal for the Next Generation (Next Gen) Library Services Platform Project, a necessary project to replace the Library's legacy integrated library system.
- Finalize the move of the "By the People" crowdsourcing initiative into DCMS, and through a joint campaign of Spanish Legal Materials from LS and the Law Library, expand the program by offering campaigns in foreign languages and accepting materials from other Library units.
- Add additional digital content types into production in Stacks systems for on-site access to rights restricted content and develop an agency plan for system improvements.

General and International Collections and Special Collections (GICD and SCD)

In fiscal 2020, with the budget of \$60.996 million, GICD and SCD priorities include the following.

Core Services

- Expand user engagement with the collections by providing hundreds of public programs including orientations, lectures, screenings, concerts, tours, and other events.
- Continue the digitization of our prized collections and making them available to all through the Library's website. GICD collections slated for expansion or inclusion include Armenian Ranties, Persian Language Rare Materials, and Korean Rare Books.
- Create 300 online research aids utilizing available tools such as EADs, research guides, Story Maps, and blogposts.
- Work with stakeholders to begin an effort to improve the delivery time and delivery rate of Inter-Library Loan material.
- Continue to expand *Chronicling America*, a national newspaper digitization program created through partnership between the Library and NEH, to include more than 16 million newspaper pages.

Special Initiatives

- LS Divisions, working with the Librarian's Office will support all components of the Visitor's Experience, including ongoing collaboration to share Library col-

lections at events, and reconfiguration of select staff spaces to accommodate the Visitor's Experience Master Plan (VEMP).

Preservation (PRES)

In fiscal 2020, with the budget of \$31.859 million, PRES priorities include the following.

Core Services

- Complete at least nine million standard preservation actions and transfer over 500,000 items to the off-site facilities, while also developing improved outcome and impact reporting metrics.
- Prepare for a rapid and orderly transfer of collections from the Landover Center and Cabin Branch to Ft. Meade Storage Module 6, planned for completion in fiscal 2021.
- Pending congressional approval of the "Rebalancing" request, conclude the mass deacidification program, with approximately 90 percent of priority materials treated by the end of the final option year of the current contract. Final payments on this fiscal 2020 task order will occur in June 2021.
- Develop interagency agreements and other vehicles to delineate PRES activities under the National Disaster Recovery Framework and the Preserve and Protect International Cultural Heritage Act.

Special Initiatives

- Work with other Library units to revise the "Strategic Plan for Safeguarding the Collections," to ensure that collections care and security measures reflect current requirements.
- Complete a requirements matrix and initiate market research for an improved inventory management system capable of interaction with the future Library Services Platform. This system will support Library and user workflows, including offsite storage and retrieval of materials for users.

Fiscal 2021 Priority Activities

Associate Librarian for Library Services (ALLS)

In fiscal 2021, with the budget of \$39.534 million, ALLS priorities include the following.

Core Services

- CDO plans to continue its focus on efforts that have a meaningful broad impact on the Library. Foremost will be its leadership in the continuing phased implementation of the Library's Digital Collecting Plan, other projects will include the review and updating of Collections Policy Statements and the further roll-out of the collections usage reporting system.

- NAVCC will increase the Film Lab's volume of digital preservation at 2K and 4K resolutions, and implement new end-to-end workflows for digital film restoration.
- NAVCC will move new image content to the National Screening Room and new sound recordings to the National Jukebox on a quarterly basis, and continue working with the Office of the General Counsel to expand the scope of the Jukebox beyond the acoustical era.

Special Initiatives

- NAVCC will document and prepare new acquisition, documentation, preservation and access workflows and data entry screens, migrate legacy data, and, after testing, launch the AVCMS system to support NAVCC, AFC and VHP workflows. While continuing work with OCIO on the second year of procuring the Library's next-generation audio-visual collections and workflow management system, NAVCC will also focus on refining current operational capabilities in fulfillment of its preservation and access missions.
- Continue work in response to the Inspector General's 2019 report on Collection Services Workflow by completing substantive work defining digital rearrange, and adding to the collections services flow map and implementation mechanism for continuous monitoring

Acquisitions and Bibliographic Access (ABA)

In fiscal 2021, with the budget of \$95.314 million, ABA priorities include the following.

Core Services

- Continue to acquire collection items by purchase, exchange, gift, copyright deposit, transfer from other agencies, and cataloging in publication
- Continue to provide new cataloging access to collection items.
- Expanding work done in the "Routine Digital Content Acquisitions via Gift and Purchase" project, work with others to continue developing workflows for acquisition of digital content in various formats, using different acquisitions methods.

Special Initiatives

- Continue to test and share the BIBFRAME to MARC conversion program internally and with the larger library community, including all six overseas offices in creating BIBFRAME data, and giving greater focus to cataloging in native rather than transliterated or Romanized scripts. This allows the Li-

brary to continue MARC record distribution for the benefit of other libraries across the United States.

Digital Services Directorate (DSD)

Core Services

- Continue the digitization of our prized collections and making them available to all through the Library's web site.
- Collaborate with OCIO to expand support for ingest, management, preservation, and access to digital content in a variety of formats and to identify application development and infrastructure priorities aligned with anticipated digital content streams.

Special Initiatives

- Streamline digitization activities and workflows through bringing the Library's Digital Scan Center into DCMS.

General and International Collections and Special Collections (GICD and SCD)

In fiscal 2021, with the budget of \$64 780 million, GICD and SCD priorities include the following.

Core Services

- Expand user engagement with the collections by providing hundreds of public programs including orientations, lectures, screenings, concerts, tours, and other events.
- Increase access to collections by digitizing analog content and creating online research guides, such as finding aids, blog posts, Story Maps, or research guides, to help users find, analyze, and use collection materials.
- Continue to offer timely, high-quality, customer-focused reference and research services, adopting new technologies to increase efficiencies for reaching users.

Special Initiatives

- Continue to migrate existing research guides and bibliographies to the new platform, making them more accessible to researchers and the general public.

Preservation (PRES)

In fiscal 2021, with the budget of \$33 396 million, PRES priorities include the following.

Core Services

- Continue preservation activities and reporting of standard preservation action statistics. It plans to initiate reporting with new preservation metrics to demonstrate the impact of major conservation and collections care efforts.

Special Initiatives

- Fill Ft. Meade Storage Module 5 to capacity and prepare for a complete exit from Landover Center Annex via a transfer of materials to Ft. Meade Storage Module 6 in late fiscal 2021 and early fiscal 2022.
- Implement a reorganization and realignment propos-

al to better meet the needs of our collections while integrating functions that are shared across Divisions and unifying capabilities in primary operational areas.

- Continue working with OCIO and the Library Services modernization effort to develop or deploy new inventory management systems.

LCSG - Law Library

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

Law Library Summary By Object Class (Dollars in Thousands)						
Object Class	Fiscal 2019		Fiscal 2020 Enacted Budget	Fiscal 2021	Fiscal 2020/2021 Net Change	Percent Change
	Operating Plan	Actual Obligations		Request Total		
00 0 Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0 0%
Total, Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0.0%
11 1 Full-time permanent	\$8,520	\$7,691	\$8,588	\$8,931	\$343	4 0%
11 3 Other than full-time permanent	175	208	175	182	7	4 0%
11 5 Other personnel compensation	83	52	83	86	3	4 0%
11 8 Special personal services payment	32	0	32	33	1	4 0%
12 1 Civilian personnel benefits	2,809	2,514	2,809	3,213	404	14 4%
13 0 Benefits for former personnel	0	0	0	0	0	0 0%
Total, Pay	\$11,619	\$10,466	\$11,687	\$12,445	\$758	6.5%
21 0 Travel & transportation of persons	\$ 25	\$ 10	\$ 25	\$ 26	\$1	2 5%
22 0 Transportation of things	2	2	2	2	0	2 5%
23 1 Rental payments to GSA	0	0	0	0	0	0 0%
23 2 Other Services	0	0	0	0	0	0 0%
23 3 Communication, utilities & misc charges	10	10	10	10	0	2 5%
24 0 Printing & reproduction	48	49	48	49	1	2 5%
25 1 Advisory & associate services	113	317	113	115	3	2 5%
25 2 Other services	2,332	2,744	2,332	2,840	508	21 8%
25 3 Other purch of goods & services from gov acc	16	57	16	17	0	2 5%
25 4 Operation & maintenance of facilities	0	0	0	0	0	0 0%
25 5 Research and Development Contracts	0	0	0	0	0	0 0%
25 6 Medical Care	0	0	0	0	0	0 0%
25 7 Operation & maintenance of equipment	0	0	0	0	0	0 0%
25 8 Subsistence and Support of Persons	0	0	0	0	0	0 0%
26.0 Supplies & materials	20	21	20	20	0	2 5%
31 0 Equipment	3,158	3,470	3,076	7,079	4,003	130 1%
41 0 Grants, subsidies & contributions	0	0	0	0	0	0 0%
42.0 Insurance claims & indemnities	0	0	0	0	0	0 0%
94 0 Financial Transfers	0	0	0	0	0	0 0%
Total, Non-Pay	\$ 5,724	\$ 6,879	\$ 5,641	\$ 10,158	\$ 4,517	80.1%
Total, Law Library	\$ 17,343	\$ 17,145	\$ 17,328	\$ 22,603	\$ 5,275	30.4%

Law Library Analysis of Change

(Dollars in Thousands)

	Fiscal 2021 Agency Request	
	Funded	
	FTE	Amount
Fiscal 2020 Enacted Budget	88	\$17,328
Non-recurring Costs:	0	0
Mandatory Pay and Related Costs:		
Locality-based comparability pay raise January 2021 @ 3.00%		260
Annualization of January 2020 pay raise @ 3.52%		102
Within-grade increases		54
One extra day, 262 vs. 261		46
Fiscal 2019 - 2020 FERS pay increase		186
Fiscal 2020 - 2021 FERS pay increase		110
Total, Mandatory Pay and Related Costs	0	758
Price Level Changes		147
Program Increases:		
Compact Shelving Replacement - Quad B		4,370
Total, Program Increases	0	4,370
Net Increase/Decrease	0	\$ 5,275
Total Budget	88	\$22,603
Total Offsetting Collections	0	0
Total Appropriation	88	\$22,603

LCSG - Law Library

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$22.603 million** for the Law Library program in fiscal 2020, an increase of \$5.275 million, or 30.4 percent over fiscal 2020. This increase supports \$0.905 million in mandatory pay related and price level increases, and a programmatic increase of \$4.370 million for Compact Shelving Replacement – Quad B.

Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2019				Fiscal 2020 Enacted Budget		Fiscal 2021		Fiscal 2020/2021 Net Change		Percent Change
	Operating Plan		Actual Obligations				Request Total				
	Funded FTE	\$	FTE Usage	\$	Funded FTE	\$	Funded FTE	\$	Funded FTE	\$	
Law Library	88	\$ 14,519	86	\$ 13,916	88	\$ 14,504	88	\$ 19,702	0	\$5,199	35.8%
Purch of Lib Mater.		2,825		3,229		2,825		2,901		77	2.7%
Total, LAW	88	\$ 17,343	86	\$ 17,145	88	\$ 17,328	88	\$ 22,603	0	\$5,275	30.4%

FUNDING OVERVIEW

In fiscal 2020, Law Library (LAW) has a budget of \$17.328 million/88 FTE (Pay - \$11.687 M/ Non-Pay - \$5.641 M) which supports LAW's efforts to provide comprehensive law research. Of this funding \$1.756 million/10 FTE was appropriated in fiscal 2019 to support the staffing capacity and contractual needs for LAW's digitization efforts and foreign specialist capacity. These initiatives included short-term funding of \$496,000 for contractual support that will non-recur in fiscal 2023 (\$96,000) and 2031 (\$400,000), leaving ongoing funding of \$1.260 million for staff.

Funded Programmatic Increases

LAW Collection Access: Digitization Effort

Fiscal 2019

- On-boarded three staff.
- 1,069 volumes of the U.S. Serial Set were prepared for the pilot and sent for digitization meeting the goal of the Law Library.
- Expanded the digitization of law collections to include digitizing 1,729 documents of the Spanish Legal Documents (first four sections: Briefs; Cannon Law; Notarial Instruments; and Opinions & Judgments).

Fiscal 2020

- Digitize 3,500 volumes of the U.S. Serial Set
- Complete the digitization of the Spanish Legal Documents (15th – 19th Centuries) by digitizing 746 documents of the final two sections. Laws & Statutes and Miscellaneous, and loading this collection on the

Library's web site.

- Increase discoverability of Law Library-generated research reports by preparing 2,000 reports (born digital or digitized) for ingestion in the Library's Content Transfer System (CTS) and loading on the Library's web site.

Fiscal 2021

- Digitize 3,000 volumes of the U.S. Serial Set (6,500 volumes total).
- Prepare an additional 2,000 Law Library-generated research reports for ingestion in the CTS and loading on the Library's web site (4,000 reports total)

In the out years, the Law Library will continue to digitize the U.S. Serial Set to completion, and digitize the Supreme Court Records and Briefs

LAW Strengthening Capacity: Staff Expertise in Foreign Law and Collection Stewardship

Fiscal 2019

- On-boarded seven staff.
- Three additional research and editorial staff deepened the Law Library's ability to timely and effectively respond to Congressional and other user inquiries regarding the laws of most often asked jurisdictions, including in particular inquiries on the law of the Nordic, Arab, Balkan, and Turkic-speaking countries. This resulted in the increased number of Congressional inquiries responded by Law Library's research staff (438 in fiscal 2019 vs. 333 in fiscal 2018)
- The expansion of research and editorial staff allowed

the Law Library to maintain stable number of publications produced and increase the number of web page views from the public.

- A new Legal Research Fellow allowed the Law Library to cover previously identified gaps in jurisdictional coverage and collection development and expedite the implementation of the project aimed at archiving historic research reports.
- Due to their ability to provide extended and multi-national jurisdictional coverage, additional research staff improved collection of law materials from Nordic and Turkic speaking countries recommending new paper and electronic acquisitions.
- Three additional collection services staff increased capacity in Law Library to care for items on-site rather than sending them away for preservation, provided primary support for activities related to the rare law book collection, including inventory, and assisted with collection acquisition and maintenance of the foreign law reference collection as well as provided help with cataloging.
- Enhanced capacity for collection processing and maintenance tasks:
 - Sorted, arranged and shelved incoming materials. The rate of additional Law materials added to the collection increased by 36 percent over the previous fiscal year.
 - Shifted, processed, and updated collection items. Increased the rate of eliminating duplicate items in the Law collection by 55 percent over the previous fiscal year.
 - Retrieved legal materials for Congress, the Supreme Court, and public patrons.

Fiscal 2020 and beyond.

- The additional research and editorial staff will continue to provide effective service responding to the global legal information needs of Congress and other priority users, including in particular inquiries on the law of the Nordic, Arab, Balkan, and Turkic-speaking countries.
- The Law Library will continue to maintain its effective services responding to the global legal information needs of Congress and other priority patrons, ensuring its ability to maintain unparalleled collection of global legal materials and secure jurisdictional coverage for all world jurisdictions.
- Another major project underway is the move of collection items from the subbasement stacks to the new state-of-the-art secure storage facility (SSF) that opened in July 2019. Additional collections services

staff is an integral part of this move and possesses the specialized training and experience in handling rare book materials

- The additional collections services staff will continue to play an essential role in the compact shelving replacement project. Continue integrating resource titles for currency, usage, and adherence to selection decisions of recommending officers. Continue defining and implementing new workflows to ensure a seamless integration of print and digital materials and high-quality patron service.

LAW Compact Shelving Replacement | three year funding expired in fiscal 2019

Fiscal 2017

- Collection Storage IDIQ Task Order for Design Only Shelving Layout for Quadrant C (Quad C) in the sub-basement of the James Madison Memorial Building (JMMB) issued.
- Plan created for Quad C collection moves. Four moves necessary for the three phases of construction
- Quad C Shelving Replacement is the first phase of a three phase process to replace shelving in the remaining three quads. Funding for the second phase (Quad B) is requested in this budget. The final quad will be requested in a future budget.

Fiscal 2018

- Began Phase 1 of Quad C shelving replacement.
 - Collections moved to swing space.
 - Dust barrier erected.
 - Old shelving disassembled and removed.
 - AOC completed work on fire suppression system.
 - Installation of new shelving began.

Fiscal 2019

- Completion of Quad C Phase 1 shelving, safety inspection, and occupancy granted to Law Library.
- Began Quad C Phase 2 of shelving replacement
 - Collections moved from construction zone.
 - Dust barrier erected.
 - Old shelving disassembled and removed.
 - AOC completed work on fire suppression system.

Fiscal 2020

- Delivery and installation of Phase 2 shelving.

- Safety inspection and occupancy granted to Law Library.
- Begin Quad C Phase 3
 - Quad C Phase 3 collection moves commence.
 - Dust barrier erected.
 - Disassemble and remove existing shelving.
 - AOC completes work on fire suppression system.
 - Delivery and begin delivery of new shelving.

Fiscal 2021

- Quad C Phase 3 installation of shelving continues.
- Safety inspection and occupancy granted to Law Library.
- Return of collection items from swing space.

PROGRAM OVERVIEW

Drawing on its unparalleled collection of domestic, foreign, and international legal material, the Law Library of Congress (Law Library) provides Congress with timely, comprehensive research on questions concerning foreign, comparative, international, and U.S. law. Its staff of experienced foreign and American-trained lawyers and law librarians also serve the federal judiciary and executive branch agencies, as well as the practicing bar, state and local governments, American businesses, scholars, journalists, and anyone with legal research and reference needs.

- Develop user-centered content – providing timely, expert legal analysis, research, testimony, training on federal and legal legislative history research, briefings and orientations in response to requests by Members of Congress and committee staff, justices of the Supreme Court, other federal and state judges, and attorneys at federal agencies.
- Increase discoverability and availability – amassing the world's largest collection of legal material, representing more than 240 foreign and international jurisdictions. The collection consists of authoritative legal sources in original languages, with nearly three million volumes and three million pieces of microfiche. The Law Library acquires, maintains, organizes, preserves, and provides access to this collection in print, micro-format, and digital formats.
- Elevate digital experiences – developing electronic information products that provide access to historical and contemporary legal, legislative, administrative, and judicial documents. The Law Library is a collaborative partner, developing and maintaining the currency of content in Congress.gov, the authoritative

legislative information system for Congress and the public. The Law Library also creates research and collection guides that focus on legal research techniques, issues, and events.

Fiscal 2019 Accomplishments

In fiscal 2019, with the budget of \$17.343 million, the Law Library accomplished the following:

Core Services

- Prepared 438 legal research reports for Congress. Foreign law specialists provided Members of Congress with reports related to many pressing U.S. legislative issues.
- Prepared 863 research or reference reports for executive and judicial branch agencies, the U.S. bar, and members of the public around the world.
- Monitored quality of research products prepared for Congress and other federal users, ensuring that 100 percent of all products met Library of Congress standards and policies. Feedback was regularly requested from Congressional and federal users, and received surveys demonstrated a stable satisfaction rate at 98 percent.
- Answered 15,116 inquiries in the Law Library Reading Room, on the phone, or electronically, and answered 3,687 inquiries through Ask a Librarian, the Library's virtual reference service
- Conducted 173 seminars and orientations on legal and legislative research for nearly 5,260 participants.
- Improved discoverability of Law Library materials by inventorying and classifying 31,665 volumes into the K class of the Library of Congress classification system. Many of these titles were not previously represented in the online catalog (OPAC).
- Expanded reach of social media, increasing Law Library Twitter followers to 70,000. The Law Library's Facebook page followers reached 39,000, and the Twitter account @Congress.gov grew to 53,900 followers.
- Congress.gov, the authoritative legislative information system for Congress and the public recorded 90,282,147 page views. The Global Legal Monitor, a continually updated online publication covering legal news and developments worldwide, received 430,001 page views. The Guide to Law Online, an annotated portal of internet sources of interest to legal researchers, had 3,711,955 page views.
- Published 171 posts in the Law Library's blog, In Custodia Legis, and recorded 596,309 page views. In Custodia Legis routinely receives some of the highest

number of page views each month among all Library blogs.

Special Initiatives

- Refined publishing permissions policies for all categories of Congressional reports and began implementing those policies in its interactions with Congressional offices and the United States Association of Former Members of Congress to obtain publishing permission.
- The Architect of the Capitol completed construction of a secure storage facility to house more than 50 percent of Law Library's rare legal materials in a temperature- and humidity-controlled environment.
- Began work toward the development of a proof of concept pilot project to develop an integrated workflow and content management system to produce Law Library research products. Automation of these work processes will enable the Law Library to provide better and more targeted services to Congress, federal executive-branch agencies, federal courts, and the public.
- Pilot and release a redesigned version of the Law.gov web site, which will contribute to an increase in page views/visits to Law.gov.
- Continue to expand social media reach through Facebook, Twitter, and the Law Library's web site
- Digitize and archive Law materials to ensure U.S. and foreign legal collections and Law Library research reports are increasingly accessible in a digital environment.
- Increase users' ability to access the Law Library's digital and print resources and its reference and research expertise
- Developing new and novel reference and training materials to improve access to the collection, and promote the Law Library as first choice for congressional, federal government, and public users for research and reference assistance.
- Working to ensure new and expanded audiences are aware of, and become users of, Law Library collections, services, expertise, and events The Law Library will continue to host a variety of presentations and commemorative events, marking Human Rights Day, Constitution Day, and Law Day.

Fiscal 2020 Priority Activities

In fiscal 2020, with the budget of \$17.328 million, the Law Library's priorities include the following.

Core Services

- Maintain highest quality of timely and complex research and reference services provided to Congress, Supreme Court, executive branch agencies, courts, practicing bar, state and local governments, American businesses, scholars, journalists, and anyone with legal research needs.
- Continue improving access to the law collection by bringing 24,000 law collection volumes up to modern classification standards (K Class).
- Complete a comprehensive inventory of the Law Library rare book collection.
- The Law Library's curriculum of online and in-person classes for Congressional staff, executive-branch staff, federal librarians, and academic and other public researchers will continue to focus on Law Library collections and services, Congress.gov, Law.gov, and other federal legislative and legal information systems, and on how to perform legal research using U.S. and foreign law resources.
- Continue to replace compact shelving in Quad C in the sub-basement of the JMMB to provide a safer workplace and faster retrieval for the world's largest authoritative law collection.

Special Initiatives

- Initiate a pilot Comparative Law Institute aimed at introducing the Law Library's collection of foreign law materials and comparative law expertise to emerging faculty members of Washington DC area law schools.
- Piloting digital preservation of foreign official gazettes to make them more accessible and easier to search.
- Increase discoverability of Law Library-generated research reports by preparing 2,000 reports (born-digital or digitized) for ingestion into the Library's Content Transfer System.
- Expand the digitization of law collections to better meet the demand for online access to collections by continuing the digitization initiative, and digitizing 3,500 volumes of the U.S. Sent. Set.
- Through the generosity of private donors, during fiscal 2020, the Law Library of Congress and the Library of Congress Interpretive Programs Office will develop a major public exhibition titled, *Join In: the American Pursuit of Civil Society*, scheduled for November 2020 and coincides with the 400th anniversary of the Mayflower Compact.

Fiscal 2021 Priority Activities

In fiscal 2021, with the budget of \$22.603 million requested, the Law Library's priorities include the following.

Core Services

- Continue providing support to the time-sensitive and complex needs of the Congress, Supreme Court, executive branch agencies, courts, practicing bar, state and local governments, American businesses, scholars, journalists, and anyone with legal research needs.
- Continue improving access to the law collection by bringing 24,000 law collection volumes up to modern classification standards (K Class).
- Expand the Law Library's curriculum of online and in-person classes for Congressional staff, executive-branch staff, federal librarians, and academic and other public researchers will continue focusing on Law Library collections and services, Congress.gov, Law.gov, and other federal legislative and legal information systems, and on how to perform legal research using U.S. and foreign law resources.
- Replace compact shelving to provide a safer work-

place and faster retrieval for the world's largest authoritative law collection.

- Continue to expand social media reach through Facebook, Twitter, and the Law Library's web site.
- Digitize and archive Law materials to ensure U.S. and foreign legal collections and Law Library research reports are increasingly accessible in a digital environment.

Special Initiatives

- If the fiscal 2020 request is approved, will replace and upgrade shelving in Quad B in the sub-basement of the JMMB. The life-span of the compact shelving was estimated at 25 years however now, at 38 years, the equipment is obsolete.
- Host a public exhibition to commemorate the 400th anniversary of the Mayflower Compact in November 2020. The purpose of the exhibition is twofold: to highlight Library of Congress collections, and to educate public visitors about the impact of the Mayflower Compact on the tradition of self-governance in America.

Office of the Inspector General

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

Office of the Inspector General Summary By Object Class (Dollars in Thousands)

Object Class	Fiscal 2019		Fiscal 2020 Enacted Budget	Fiscal 2021 Request Total	Fiscal 2020/2021 Net Change	Percent Change
	Operating Plan	Actual Obligations				
00 0 Lapse Reserve	\$ 0	\$ 0	\$ 0	\$ 0	\$0	0.0%
Total, Lapse Reserve	\$ 0	\$ 0	\$ 0	\$ 0	0	0.0%
11 1 Full-time permanent	\$1,702	\$1,444	\$2,347	\$2,440	\$94	4.0%
11 3 Other than full-time permanent	53	4	53	56	2	4.0%
11 5 Other personnel compensation	129	96	129	130	1	0.6%
11 8 Special personal services payment	0	0	0	0	0	0.0%
12 1 Civilian personnel benefits	544	552	544	636	92	16.9%
13 0 Benefits for former personnel	0	93	0	0	0	0.0%
Total, Pay	\$2,428	\$2,189	\$3,073	\$3,261	\$188	6.1%
21 0 Travel & transportation of persons	\$ 7	\$ 2	\$ 7	\$ 7	\$0	2.5%
22 0 Transportation of things	0	0	0	0	0	4.0%
23 1 Rental payments to GSA	0	0	0	0	0	0.0%
23 2 Other Services	0	0	0	0	0	0.0%
23 3 Communication, utilities & misc charges	3	3	3	4	0	2.5%
24 0 Printing & reproduction	9	8	9	10	0	2.5%
25 1 Advisory & associate services	813	1,017	813	834	21	2.5%
25 2 Other services	37	22	37	38	1	2.5%
25 3 Other purch of goods & services from gov acc	0	3	0	0	0	2.7%
25 4 Operation & maintenance of facilities	0	0	0	0	0	0.0%
25 5 Research and Development Contracts	0	0	0	0	0	0.0%
25 7 Operation & maintenance of equipment	16	61	16	17	1	5.0%
25 8 Subsistence and Support of Persons	0	0	0	0	0	0.0%
26 0 Supplies & materials	11	3	11	11	0	2.5%
31 0 Equipment	20	54	20	21	1	2.5%
Total, Non-Pay	\$ 918	\$ 1,173	\$ 918	\$ 942	\$ 24	2.6%
Total, Office of the Inspector General	\$ 3,346	\$ 3,362	\$ 3,991	\$ 4,203	\$ 212	5.3%

Office of the Inspector General Analysis of Change

(Dollars in Thousands)

	Fiscal 2021 Agency Request	
	Funded	
	FTE	Amount
Fiscal 2020 Enacted Budget	14	\$3,991
Non-recurring Costs:	0	0
Mandatory Pay and Related Costs:		
Locality-based comparability pay raise January 2021 @ 3.00%		66
Annualization of January 2020 pay raise @ 3.52%		26
Within-grade increases		14
One extra day, 262 vs. 261		12
Fiscal 2019 - 2020 FERS pay increase		40
Fiscal 2020 - 2021 FERS pay increase		31
Total, Mandatory Pay and Related Costs	0	188
Price Level Changes		24
Program Increases:	0	0
Net Increase/Decrease	0	\$ 212
Total Budget	14	\$4,203
Total Offsetting Collections	0	0
Total Appropriation	14	\$4,203

Office of the Inspector General

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$4.203 million** for the Office of the Inspector General in fiscal 2021, an increase of \$0.212 million, or 5.3 percent, over fiscal 2020. This increase supports mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2019						Fiscal 2020 Enacted Budget		Fiscal 2021		Fiscal 2020/2021 Net Change		Percent Change
	Operating Plan		Actual Obligations		Request Total								
							Funded FTE		Funded FTE				
	FTE Usage	\$	FTE Usage	\$	Funded FTE	\$	Funded FTE	\$	Funded FTE	\$			
OIG	14	\$ 3,346	12	\$ 3,362	14	\$ 3,991	14	\$ 4,203	0	\$212	5.3%		

FUNDING OVERVIEW

In fiscal 2020, the Office of the Inspector General (OIG) has a budget of \$3.991 million / 14 FTE (Pay - \$3.073 M/ Non-Pay - \$0.918 M) which provides funding to continuing a higher level of audit and oversight of the Library of Congress' (Library) Information Technology (IT) modernization due to significant growth in these efforts.

Funded Programmatic Increases

OIG Expanded Information Technology Audit Capabilities

Fiscal 2019

- One FTE IT Auditor hired and on-boarded;
- Awarded \$100,000 to focus on IT audits of organization-wide strategic efforts; and
- Purchased and installed new audit workpaper software.

Fiscal 2020 Consolidated Appropriations Act Directed Increase

Fiscal 2020

- Solicit and award contracts with IT specialists;
- Hire Assistant Inspector General for Audit (AIGA) in the 3rd or 4th quarter; and
- Expand audit and oversight efforts with increased funding to \$3.991 million.

Fiscal 2021

- Continue to use the increase in fiscal 2020 funding for audit and oversight of the Library's ambitious IT modernization efforts.

PROGRAM OVERVIEW

OIG functions within the Library as an independent, objective office with authority to: conduct and supervise audits, evaluations, and investigations relating to the Library; provide leadership and coordination in recommending policies to promote economy, efficiency, and effectiveness; and inform the Librarian of Congress and the Congress fully about problems and deficiencies related to the administration and operations of the Library. The Inspector General plans, manages, and directs the operations of the OIG with the assistance of a full-time legal counsel and a part-time administrative assistant. OIG divides its work organizationally into two units: the Audits and the Investigations Divisions:

- The Audits Division conducts in-depth reviews that address the efficiency, effectiveness, and economy of the Library's programs, activities, and functions; provides information to responsible parties to improve public accountability; facilitates oversight and decision-making; and initiates corrective action as needed. Each fiscal year OIG assesses two to three of the Library's seven top management challenges (TMC): IT modernization; collections storage workflow; U.S. Copyright Office's (USCO) Modernization Program; financial management and reporting; strategic planning and performance management; digital strategic planning and execution, and contracting. The Audits Division also contracts with an independent public accounting firm that examines whether financial statements fairly present financial positions, results of operations, and budgetary resources.
- The Investigations Division performs administrative, civil, and criminal investigations concerning fraud, conflict of interest, and other misconduct involving Library employees, contractors, and grantees. It also operates a confidential hotline, for both Library staff and the public, to report fraud, waste, and abuse.

Fiscal 2019 Accomplishments

In fiscal 2019, with the budget of \$3.346 million, OIG continued to emphasize the Library's TMC and accomplishments in other areas. OIG accomplished the following.

Audits Division

- Concentrated efforts on three TMCs. Collections Storage, the U.S. Copyright Office's (USCO) Modernization Program, and financial management and reporting.
- Issued the last in a series of audits on the Library's purchase card program, another targeted review of improper payments; and evaluated hotline complaints received concerning the Library's Federal Library and Information Network.
- Conducted audits of the Library's Gift Shop financial management and accounting and the Overseas Office in Rio de Janeiro, Brazil.
- Performed focused IT audits of the modernization efforts in USCO and the Library's IT security information and event management.
- Completed a risk-based audit plan for the three-year period fiscal years 2020-2022.
- Performed the annual audit of the USCO's Licensing Division's fund balance as well as its mandated oversight of the Library's financial statements audit.

Investigations Division

- Conducted investigations and determined employees' misuse of government computers to visit inappropriate Internet sites.
- Investigated employee misconduct and time and attendance irregularities, resulting in a recovery of \$17,480.
- Issued and referred one case to management in which allegations of misconduct and conflict of interest related to a Library procurement by a senior government employee.
- Recovered \$25,525 from investigations of theft of Library property.

Fiscal 2020 Priority Activities

In fiscal 2020, with the enacted budget of \$3.991 million, OIGs' priorities include the following.

Audits Division

- Hire the AIGA SES position.
- Continue to focus on the Library's TMCs by performing three to four assessments on identified areas.
- Perform increased reviews of Library-wide investments in IT modernization, including updating outdated infrastructure, supporting migration to a Tier III data center, and improving the security of the networks.
- Perform the annual audit of the USCO's Licensing Division's fund balance as well as its mandated oversight of the Library's financial statements.

Investigations Division

- Focus on combating contracting and computer crimes at the Library.
- Address waste, fraud, and abuse in all areas of Library operations.
- Emphasize and employ its hotline program to pursue employee misconduct, mismanagement, and unethical activities.

Fiscal 2021 Priority Activities

In fiscal 2021, with the requested budget of \$4.203 million, OIGs' priorities include the following.

Audits Division

- Increase OIGs' audit and evaluation oversight of the Library's IT operations and strategic direction to ensure IT investments do not incur waste, fraud, and abuse.
- Continue to focus on the Library's TMCs by performing three to four assessments on identified areas.
- Perform the annual audit of the USCO's Licensing Division's fund balance as well as its mandated oversight of the Library's financial statements.

Investigations Division

- Conduct investigations of the misuse of government computers at the Library.
- Focus on employee misconduct and time and attendance irregularities.

COPYRIGHT OFFICE,
SALARIES AND EXPENSES

Copyright, Salaries & Expenses Resource Summary (Dollars in Thousands)											
Appropriation/PPA	Fiscal 2019				Fiscal 2020 Enacted Budget		Fiscal 2021		Fiscal 2020/2021 Net Change		Percent Change
	Operating Plan		Obligations				Request Total				
	Funded FTE	\$	FTE Usage	\$	Funded FTE	\$	Funded FTE	\$	Funded FTE	\$	
COP Basic	400	\$ 85,823	395	\$ 71,907	400	\$ 83,990	403	\$ 85,792	3	\$1,802	2 1%
COP Licensing	23	5,755	20	4,009	23	5,952	23	6,232	0	280	4 7%
COP Royalty Judges	6	1,829	5	1,711	6	1,898	9	2,867	3	969	51 1%
Total, COP, S&E	429	\$ 93,407	420	\$ 77,627	429	\$ 91,840	435	\$ 94,891	6	\$3,051	3.3%
COP Basic Off Coll		(39,218)		(27,036)		(39,218)		(35,004)		4,214	-10 7%
COP Basic Unobligated Bal		(4,328)		(2,686)		(4,003)		(3,000)		1,003	-25 1%
COP Licensing Off Coll		(5,755)		(4,009)		(5,952)		(6,232)		(280)	4 7%
COP Royalty Judges Off Coll		(517)		(473)		(530)		(546)		(16)	3 0%
Total Appropriation, COP, S&E	429	\$ 43,589	420	\$ 43,422	429	\$ 42,137	435	\$ 50,109	6	\$7,972	18.9%

**Copyright Office, Salaries & Expenses
Summary By Object Class**

(Dollars in Thousands)

Object Class	Fiscal 2019		Fiscal 2020 Enacted Budget	Fiscal 2021 Request Total	Fiscal 2020/2021 Net Change	Percent Change
	Operating Plan	Actual Obligations				
00 0 Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0.0%
Total, Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0.0%
11 1 Full-time permanent	\$33,195	\$37,736	\$34,575	\$36,589	\$2,014	5.8%
11 3 Other than full-time permanent	392	250	392	408	15	3.9%
11 5 Other personnel compensation	2,089	1,239	2,089	2,169	80	3.8%
12 1 Civilian personnel benefits	17,783	12,419	17,783	19,363	1,581	8.9%
13 0 Benefits for former personnel	22	30	22	23	1	3.5%
Total, Pay	\$53,482	\$51,676	\$54,862	\$58,553	\$3,691	6.7%
21 0 Travel & transportation of persons	\$ 181	\$ 111	\$ 181	\$ 193	\$12	6.5%
22 0 Transportation of things	16	0	16	16	0	2.5%
23 1 Rental payments to GSA	0	0	0	0	0	0.0%
23 2 Other Services	990	306	990	992	2	0.2%
23 3 Communication, utilities & misc charges	690	395	690	712	23	3.3%
24 0 Printing & reproduction	411	497	411	634	223	54.2%
25 1 Advisory & associate services	7,603	4,093	7,603	7,740	137	1.8%
25 2 Other services	8,624	4,539	8,706	7,004	(1,702)	-19.5%
25 3 Other purch of goods & services from gov acc	13,165	11,274	10,746	10,956	210	1.9%
25.4 Operation & maintenance of facilities	0	0	0	0	0	0.0%
25 5 Research and Development Contracts	0	0	0	0	0	0.0%
25 6 Medical Care	0	0	0	0	0	0.0%
25 7 Operation & maintenance of equipment	1,405	873	1,409	1,718	309	21.9%
25 8 Subsistence and Support of Persons	0	0	0	0	0	0.0%
26 0 Supplies & materials	311	230	311	334	23	7.3%
31 0 Equipment	6,530	3,597	5,915	6,040	125	2.1%
41 0 Grants, subsidies & contributions	0	0	0	0	0	0.0%
42 0 Insurance claims & indemnities	0	35	0	0	0	0.0%
44 0 Refunds	0	0	0	0	0	0.0%
Total, Non-Pay	\$ 39,925	\$ 25,951	\$ 36,978	\$ 36,338	\$ (640)	-1.7%
Total, Copyright Office, S&E	\$ 93,407	\$ 77,627	\$ 91,840	\$ 94,891	\$ 3,051	3.3%

Copyright Office, Salaries and Expenses Analysis of Change

(Dollars in Thousands)

	Fiscal 2021	
	Agency Request	
	FTE	Amount
Fiscal 2020 Enacted Budget	429	\$91,840
Non-recurring Costs:		
Public Records & Recordation		(1,100)
Warehouse Move Preparation		(1,003)
Total, Non-recurring Costs	0	(2,103)
Mandatory Pay and Related Costs:		
Locality-based comparability pay raise January 2021 @ 3.00%		1,226
Annualization of January 2020 pay raise @ 3.52%		479
Within-grade increases		238
Fiscal 2019 - 2020 FERS pay increase		396
Fiscal 2020 - 2021 FERS pay increase		255
One extra day, 262 vs. 261		150
Total, Mandatory Pay and Related Costs	0	2,745
Price Level Changes		833
Program Increases:		
Music Modernization Act Staffing	3	711
CRJ Staffing	3	865
Total, Program Increases	6	1,576
Net Increase/Decrease	6	\$ 3,051
Total Budget	435	\$94,891
Total Offsetting Collections & PY Unobligated Balances	0	(44,782)
Total Appropriation	435	\$50,109

Fiscal 2021 Program Changes: \$1.576 million

Copyright Fee Realignment - Shift in Spending Authority

The United States Copyright Office (USCO) requests a shift of Copyright Basic budget authority from offsetting collections to increased net discretionary appropriations totaling \$4.214 million due to a projected user fee collections shortfall in fiscal 2021. The passage of the Music Modernization Act of 2018 (MMA) drastically reduced the volume of filings of Notices of Intention (NOI) to make and distribute phonorecords under 17 U.S.C. § 115. In fiscal 2019, this resulted in an annual fee collections shortfall of \$4.214 million for USCO, which reduced the Copyright Basic obligational authority by that amount. USCO anticipates that this reduced level of revenue will continue in fiscal 2020, fiscal 2021, and the foreseeable future. Therefore, the USCO is requesting increased net discretionary appropriations in fiscal 2021 and beyond to accommodate for the projected shortfall in offsetting collections.

Fiscal 2018 actual NOI collections were \$4.577 million. USCO overall fiscal 2019 revenue collections of \$35.004 million were \$4.214 million below the level estimated in the budget (\$39.218 million), and 10 percent below the fiscal 2018 actual level. USCO attributes the fiscal 2019 revenue shortfall primarily to the passage of the MMA and associated cessation of most NOI filings. In the three year period from fiscal 2016 through fiscal 2018, USCO fee collections averaged \$37 519 million, ranging from a high of \$38.966 million in

fiscal 2018 to a low of \$36.546 million in fiscal 2016. In the fiscal 2019 and 2020 budget requests, USCO assumed the level of offsetting fee collections would be in line with what it experienced before passage of the MMA, an estimated \$39.218 million. At the time the fiscal 2019 and 2020 budgets were transmitted to Congress, any potential impacts of the MMA on offsetting collections was unknown. However, once the actual fiscal 2019 collections began to trend lower, USCO better understood the impact of lower NOI filings on Copyright Basic's obligation authority. These reductions put significant pressure on USCO operations and modernization efforts and the USCO does not anticipate achieving the fiscal 2018 level of collections in fiscal 2020 and in the next several years as MMA implementation continues. In 2017 USCO commenced a schedule and analysis of copyright fees that takes place routinely every three to five years. This analysis was submitted to Congress in October 2019 with the intention of implementing a new fee schedule in the second quarter of 2020 pending congressional approval. While the study findings are not associated with anticipated impacts of the MMA, the study did indicate that fee collections may be somewhat elastic to price which could put further pressure on collections revenue. USCO is closely monitoring the pace of collections to further the understanding of the full potential impacts of MMA implementation and any price structure changes.

Music Modernization Act Staffing:

\$0.711 million/3 FTE

The U.S. Copyright Office (USCO) is requesting a \$711,000 increase in appropriated funds to support three FTEs for the mandated implementation and execution requirements of the Music Modernization Act of 2018 (MMA).

The requested staffing to support USCO MMA implementation is as follows:

1. Supervisory Public Affairs Specialist (one – GS 15)

The Supervisory Public Affairs Specialist will ensure that the USCO outreach and education efforts are planned, executed, and delivered in a manner to meet the USCO strategic and business goals.

2. Attorney-Advisor (one – GS 15)

The Attorney-Advisor will serve as an expert on copyright law to advise USCO leadership on activities pertaining to matters of interest to USCO, copyright stakeholders, and Congress, including Congressionally-required reports and regulatory matters.

3. Paralegal (one – GS 11)

The paralegal will assist with legal research and other

tasks in support of USCO attorneys

The MMA requires the Register of Copyrights to “engage in public outreach and educational activities” regarding the amendments made to section 115 of Title 17. Orrin G. Hatch–Bob Goodlatte Music Modernization Act, Public Law 115-264, § 102(e), 132 Stat. 3676, 3722 (2018).

Specifically, the Register must engage in public education and other outreach activities to inform interested members of the public and songwriters about the process by which a copyright owner may claim ownership of musical works before the “mechanical licensing collective” created under the MMA. The mechanical licensing collective will administer a blanket licensing system for digital music providers to make and distribute digital phonorecord deliveries (e.g., permanent downloads, interactive streams). Outreach and educational activities required under the MMA include the creation of written materials and online tutorials, training, and travel to meet with members of the general public. Two years after the designation of the new mechanical licensing collective, the MMA also requires the Register to submit to the Committee on the Judiciary of the Senate

and the Committee on the Judiciary of the House of Representatives a “report that recommends best practices that the collective may implement” regarding unclaimed royalties. Id. § 102(f)(1), 132 Stat. at 3722.

To fulfill its duties under the MMA, USCO will: conduct educational presentations and provide materials at relevant conferences and music events; develop and deploy explanatory videos regarding how the MMA will affect different audience segments; develop written materials to distribute at various events focusing on different areas of the complex law; continuously update content on the Copyright Office web site; and develop online tutorials and conduct online seminars (webinars) to have the greatest reach among interested parties. These education efforts are critical so that songwriters learn about the mechanical licensing collective,

how it operates, and how they may claim ownership of their musical works. This comprehensive effort will target all audiences necessary, with customized materials for different areas of concern, and will provide online training (tutorials and webinars) whenever appropriate to reach a greater audience and to reduce the necessity of travel.

Tangible benefits include increased public awareness of the efficiency and monetary benefits that have been made available to copyright owners and others under the MMA, and a timely and comprehensive report to Committee on the Judiciary of the Senate and the Committee on the Judiciary of the House of Representatives as required.

Lack of funding will greatly impact the Copyright Office’s ability to adequately engage in important public outreach and educational activities to meet the intent of the MMA

Copyright Royalty Judges Staffing:

\$0.865 million/ 3 FTE

The Library is requesting three FTE and \$865,000 to support the Copyright Royalty Judges (CRJ) increased workload generated by the Music Modernization Act of 2018 (MMA) and increasing trends of case complexity and the numbers of cases requiring adjudication. A legislative proviso in the fiscal 2020 enacted appropriations removed the statutory FTE cap on CRJ support staff from U.S.C. Title 17, enabling the potential to increase staff support. While the passage of the MMA assigned additional responsibilities to the CRJ program, the staffing for the program remains as it was in 2004: Three judges supported by three administrative staff.

The requested three additional staff include:

1. Economist (one – GS 14)

The Economist will be an expert in economics pertaining to the cable, satellite, and music copyright industries and will advise the Judges on all aspects of their work.

2. Paralegal (one – GS 11 and one – GS 9)

The paralegals will assist the Judges with legal research and other tasks in support of the Copyright Royalty Board.

USCO is proposing that this initiative be funded through an increase in annual appropriations (\$393.4 thousand) for salaries and benefits and an increase in offsetting collections (\$471.6 thousand from royalties and participation fees) for the associated non-pay expenses, which include printing in the Federal Register and necessary enhancements to the electronic Copyright Royalty Board (eCRB) system, in addition to the standard per-FTE non-pay costs. The MMA was signed into law on October 11, 2018. The legislation is aimed at, among other things, streamlining the payment and distribution of musical works license royalties. The MMA created a non-profit Music Licensing Collective (MLC) whose operating expenses will be paid by licensees through an “administrative assessment” set by the CRJ. The MLC is tasked initially with development of a music

information database to assure musical works royalties reach the songwriters and publishers to whom they are due, as well as the collection and distribution of musical works royalties under a blanket license. In the MMA, Congress assigns to the CRJ the duty to ascertain the reasonableness of the MLC’s operating budget and the allocation of contributions to that budget by the various licensees or licensee representative groups. The MLC funding proceeding is an additional proceeding of a brand-new type for the CRJ. As with all of its other proceedings, the CRJ is mandated to follow a strict timeline to completion.

Moreover, in the last few years fewer of the licensing proceedings have been resolved through negotiated settlements, resulting in more adjudication cases of royalty rate disputes. In addition, since the late 1990’s additional parties have begun participating in royalty rate disputes, resulting in litigation in most royalty distribution proceedings. Changes in the marketplace have also complicated both rate-setting and royalty distribution proceedings.

The Copyright Royalty Judges are also tasked with setting royalty rates for the licensing of music. The Copyright Act creates compulsory licenses for the use of musical works (notes and lyrics) and sound recordings (recorded performances of music or other audio content)

In 1995, Congress extended a sound recording copyright owner’s copyright to include the exclusive right to perform their works by means of digital transmissions, and created a compulsory license for subscription transmissions. As digital music transmissions moved beyond the original cable and satellite radio services to transmissions over the Internet, Congress expanded the compulsory license in 1998 to keep pace with the marketplace. The music delivery paradigm has moved rapidly from physical sales of sound recordings to downloads to streaming of sound recordings – from an ownership model to an access model. These changes have

introduced more complexity into determining a methodology that appropriately values the licenses and compensates copyright owners.

On the distribution side, the cable and satellite television landscape is evolving. The compulsory licenses apply only to programming on broadcast television signals that are simultaneously retransmitted to a distant market. Changes in the cable and satellite retransmission landscape, such as the

proliferation of new means of delivering audiovisual content and the transformation of superstations to cable networks, require the Judges to consider anew, with each distribution proceeding, the continued viability of the valuation methodologies the parties present. In summary increased duties from the MMA, increased licensing case adjudications, increased case complexity and a rapidly changing marketplace all contribute to the need for additional support staff for the CRJ.

Copyright Basic

COPYRIGHT OFFICE, SALARIES AND EXPENSES

Copyright Basic Summary By Object Class (Dollars in Thousands)						
Object Class	Fiscal 2019		Fiscal 2020 Enacted Budget	Fiscal 2021	Fiscal 2020/2021 Net Change	Percent Change
	Operating Plan	Actual Obligations		Request Total		
00 0 Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0.0%
Total, Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0.0%
11.1 Full-time permanent	\$30,060	\$34,938	\$31,260	\$32,844	\$1,584	5.1%
11.3 Other than full-time permanent	392	250	392	408	15	3.9%
11.5 Other personnel compensation	2,053	1,176	2,053	2,131	78	3.8%
12.1 Civilian personnel benefits	16,788	11,538	16,788	18,113	1,325	7.9%
13.0 Benefits for former personnel	22	9	22	23	1	3.5%
Total, Pay	\$49,316	\$47,911	\$60,515	\$53,519	\$3,004	5.9%
21.0 Travel & transportation of persons	\$171	\$106	\$171	\$179	\$8	4.6%
22.0 Transportation of things	15	0	15	15	0	2.5%
23.1 Rental payments to GSA	0	0	0	0	0	0.0%
23.2 Other Services	990	306	990	992	2	0.2%
23.3 Communication, utilities & misc charges	683	391	683	699	16	2.4%
24.0 Printing & reproduction	322	316	322	343	21	6.4%
25.1 Advisory & associate services	7,603	4,093	7,603	7,740	137	1.8%
25.2 Other services	7,935	3,651	7,935	6,207	(1,728)	-21.8%
25.3 Other purch of goods & services from gov acc	11,534	10,581	9,116	9,284	168	1.8%
25.4 Operation & maintenance of facilities	0	0	0	0	0	0.0%
25.5 Research and Development Contracts	0	0	0	0	0	0.0%
25.6 Medical Care	0	0	0	0	0	0.0%
25.7 Operation & maintenance of equipment	1,187	703	1,187	1,237	51	4.3%
25.8 Subsistence and Support of Persons	0	0	0	0	0	0.0%
26.0 Supplies & materials	268	223	268	288	20	7.3%
31.0 Equipment	5,800	3,590	5,185	5,289	104	2.0%
41.0 Grants, subsidies & contributions	0	0	0	0	0	0.0%
42.0 Insurance claims & indemnities	0	35	0	0	0	0.0%
44.0 Refunds	0	0	0	0	0	0.0%
Total, Non-Pay	\$36,508	\$23,996	\$33,475	\$32,273	(\$1,202)	-3.6%
Total, Copyright Basic	\$85,823	\$71,907	\$83,990	\$85,792	\$1,802	2.1%

Copyright Basic Analysis of Change

(Dollars in Thousands)

	Fiscal 2021 Agency Request	
	Funded	
	FTE	Amount
Fiscal 2020 Enacted Budget	400	\$83,990
Non-recurring Costs:		
Public Records & Recordation		(1,100)
Warehouse Move Preparation		(1,003)
Total, Non-recurring Costs	0	(2,103)
Mandatory Pay and Related Costs:		
Locality-based comparability pay raise January 2021 @ 3.00%		1,128
Annualization of January 2020 pay raise @ 3.52%		441
Fiscal 2019 - 2020 FERS pay increase		330
Fiscal 2020 - 2021 FERS pay increase		219
One extra day, 262 vs. 261		117
FERS pay increase		215
Total, Mandatory Pay and Related Costs	0	2,451
Price Level Changes		742
Program Increases:		
Music Modernization Act Staffing	3	711
Total, Program Increases	3	711
Net Increase/Decrease	3	1,802
Total Budget	403	\$85,792
Total Offsetting Collections & PY Unobligated Balances	0	(38,004)
Total Appropriation	403	\$47,788

Copyright Basic

COPYRIGHT OFFICE, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$85.792 million** for Copyright Basic in fiscal 2021, an increase of \$1.802 million, or 2.1 percent, change from fiscal 2020, offset by \$35.004 million in offsetting collection authority and \$3 million in authority to use prior year unobligated balances, for a net appropriation of \$47.788 million. This increase represents \$3.193 million for mandatory pay related and price level increases, non-recurring costs of (\$1.100) million for Public Records and Recordation and (\$1.003) million for Warehouse Move Preparation, and a programmatic increase of \$711,000 and 3 FTE for Music Modernization Act Staffing. Additionally, this includes a request to shift \$4.214 million of spending authority from offsetting collections to appropriated funding.

Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2019				Fiscal 2020 Enacted Budget		Fiscal 2021		Fiscal 2020/2021 Net Change		Percent Change
	Operating Plan		Actual Obligations				Request Total				
	Funded FTE	\$	FTE Usage	\$	Funded FTE	\$	Funded FTE	\$	Funded FTE	\$	
COP_Basic	400	\$ 85,823	395	\$ 71,907	400	\$ 83,990	403	\$ 85,792	3	\$1,802	2 1%
Offsetting Coll.		(39,218)		(27,036)		(39,218)		(35,004)		4,214	-10 7%
PY Unobl Bal.		(4,328)		(2,686)		(4,003)		(3,000)		1,003	-25 1%
COP_Basic	400	\$ 42,277	395	\$ 42,184	400	\$ 40,769	403	\$ 47,788	3	\$7,019	17 2%

FUNDING OVERVIEW

In fiscal 2020, the U.S. Copyright Office (USCO), Copyright Basic has budget authority of \$83.990 million/400 FTE (Pay - \$50.515 million/ Non-Pay - \$33.475 million) to support its mission to promote creativity and free expression by administering the nation’s copyright laws and by providing impartial expert advice on copyright law and policy, for the benefit of all. Offsetting collection authority of \$43.221 million will be credited to this appropriation, providing a net appropriation of \$40.769 million. Of this funding, \$11.709 million will non-recur; [\$6.709 million] in fiscal 2024 from the Copyright Modernization initiative resulting in an ongoing base of \$5.412 million, and [\$5.000 million] in fiscal 2026 from the Searchable Historic Records initiative.

Funded Programmatic Increases:

Fiscal 2019 - \$21.608 million/23 FTE was newly appropriated in fiscal 2019 to support various initiatives. These initiatives included the following.

- Copyright Modernization – approved in the 2019 budget request, \$12.121 million comprised of temporary funding of \$6.709 million for planning and development that will non-recur in fiscal 2024, leaving an ongoing base increase of \$5.412 million for operations and maintenance and personnel.
- Established the Copyright Modernization Office and the Copyright Governance Board to coordinate and oversee all modernization activities.
- Launched work to develop the Enterprise Copyright System (ECS) in collaboration with the Library’s Office of the Chief Information Officer (OCIO) under the shared-services framework established by the 2017 Modified U.S. Copyright Office Provisional IT Modernization Plan.
- Working with a contractor, conducted robust, multi-city/multi-method stakeholder outreach and research initiative focused on capturing and integrating feedback from actual Copyright Office users to inform the design of a user-centric interface for the ECS.
- Established a dedicated public webpage for modernization efforts located at copyright.gov/copyright-modernization.
- Launched broad organizational change management activities to facilitate communication and staff engagement in modernization activities.
- Searchable Historic Records – temporary funding

of \$5.0 million for digitization and other activities to make records accessible online that will non-recur in fiscal 2026.

- Completed a comprehensive electronic data inventory and data dictionary from all Copyright Office data sources, stores, and products, and developed a data management plan for data identification, storage and preservation.
- Went live with a Virtual Card Catalog (VCC) proof-of-concept, providing online access to the entire card catalog of 35 million cards, as reflected in 41.5 million imaged records. In fiscal 2019, the VCC had 11,610 unique visitors with over 88,000 page views.
- Launched Office-wide business process re-engineering and engaged experts from the Smithsonian Institute to re-envision Office workflows for optimal efficiencies.
- Engaged the Office of Personnel Management (OPM) to assess the Office's organizational structure and its alignment with strategic planning.
- Registration Staffing - permanent funding of \$2.621 million for salaries, benefits, and other personnel-related costs.
 - With the addition of 30 new examination staff funded between the fiscal 2018 and fiscal 2019 program increases, changes in training programs, and input from Smithsonian experts, the Copyright Office has eliminated the backlog of pending registration claims, reduced registration processing times by more than 40 percent, and completely resolved all older claims pending since fiscal 2017
- Public Records and Recordation - temporary funding of \$1.1 million for contractual services to reduce the backlog that will non-recur in fiscal 2021
 - Engaged the Smithsonian Institute to evaluate the existing manual recordation processes and make recommendations for reducing the recordation backlog ahead of recordation modernization.
 - Secured contract paralegal support to assist public records staff in accelerating the review and input of recordation submissions.
- Warehouse Move Preparation - temporary funding of \$1.328 million, \$325,000 of which non-recurring in fiscal 2020 and the remainder of \$1.003 million

will continue in fiscal 2020 to perform inventory work, transfer records to the new warehouse, and to implement a new inventory management system. These funds will non-recur in 2021

- In preparation for the move to its new Cabin Branch storage facility, the Office used its fiscal 2019 programmatic increase for contract support, completing the inventory of all deposit copies storage boxes located at the Landover facility, and completing the permanently withdrawal and inventory of 6,000 boxes from the National Archives and Records Administration facility.

There were no requested programmatic increases for fiscal 2020

PROGRAM OVERVIEW

The USCO is responsible for administering the nation's copyright laws, which include important functions such as:

- Examining and registering copyright claims in creative works of authorship such as books, music, movies, sound recordings, software, and photographs;
- Recording assignments, security interests, and other documents pertaining to copyright status and ownership;
- Creating, maintaining, and publishing authoritative records of copyright data.
- Administering the legal deposit of certain published works into collections of the Library of Congress.

Together the Office's registration and recordation systems constitute the world's largest compilation of copyrighted works and copyright ownership information, encompassing an unparalleled record of American cultural heritage. In addition, Congress has charged the Copyright Office to provide important law and policy services, including:

- Advising Congress on domestic and international copyright issues;
- Providing assistance and copyright information on domestic and international copyright matters to other federal agencies and the courts;
- Participating in U.S. delegations in meetings with foreign governments and in intergovernmental meetings; and
- Conducting studies and programs regarding copyright, including educational programs conducted cooperatively with international intergovernmental organizations and foreign intellectual property offices.

Approximately half of the Copyright Office's annual budget comes from fees collected from copyright registration and related public services. The Office sets fees in accordance with its fee authority under Title 17, taking into account both the voluntary nature of its published services and the objectives of the overall copyright system. The remainder of the budget comes from an annual appropriation, appropriated dollars ensure the availability of the public database of copyright information that is important to new and established businesses and facilitates ongoing transactions in the global marketplace.

Fiscal 2019 Accomplishments

In fiscal 2019, with the budget of \$85.823 million, USCO accomplished the following:

- In fiscal 2019, the Copyright Office registered 547,837 copyright claims; transferred to or facilitated online access of 727,427 works to the Library; recorded an estimated 11,221 documents affecting tens of thousands of titles, and responded to approximately 187,000 in-person, telephone, and email requests for information.
- The Office completed a comprehensive study of its fee structure, and sought public comment on proposed changes. The resulting Proposed Schedule and Analysis of Copyright Fees was delivered to Congress on October 16, 2019. The Office will move forward with a rule putting the new fees into effect in spring 2020, unless Congress passes a law to the contrary.
- In October 2018, Congress enacted the Orin G. Hatch-Bob Goodlatte Music Modernization Act (MMA), and the Office immediately began work to undertake a number of regulatory initiatives required by statute. The Office has completed all regulatory actions needed to implement Title II of the MMA which, among other things, extends remedies for copyright infringement to owners of sound recordings fixed before February 15, 1972. The Office also began promulgating regulations regarding implementation of Title I, including designating the mechanical licensing coordinator and digital licensee coordinator in July 2019, updating existing regulations, and issuing a notification of inquiry for additional regulatory activities. The Office has established a dedicated webpage to MMA developments and educational information.
- The Office worked with the Department of Justice to provide legal analysis and recommendations in five copyright cases before the U.S. Supreme Court, two cases before the federal courts of appeals, and several cases before district courts.
- The Office has issued a number of proposed rulemakings and a dozen final rules, addressing a wide range of matters from, for example, how to improve registration practices in the digital age to proposing new group registration options and adjusting existing options for certain categories of works.
- The Office completed the seventh triennial rulemaking under section 1201 of the Copyright Act, providing for the establishment of exemptions to the prohibition on circumvention on technical protection measures. For this cycle, the Office adopted a new streamlined process for the renewal of exemptions that was well-received among participants.
- The Office completed its study assessing the current state of U.S. laws involving moral rights for authors, and on April 23, 2019, issued its report, *Authors, Attribution, and Integrity: Examining Moral Rights in the United States*.
- The Office supported legislative efforts that resulted in the October 2018 adoption of the Marrakesh Treaty Implementation Act (MTIA) which amended the existing copyright law exception for the blind or other people with disabilities and added a new section to the law to address cross-border issues. This law paved the way for the United States to join that treaty, effective May 8, 2019; the Office has provided an online FAQ on this development.
- The Office provided support to executive branch agencies involved in trade negotiations involving copyright law and enforcements measures within an intellectual property chapter (such as the U.S.-Mexico-Canada Trade Agreement), reviewing copyright reforms in dozens of countries, and participating in global copyright policy discussions before the World Intellectual Property Organization (WIPO).
- The Register of Copyrights testified at two oversight hearings in mid-2019 and two hearings involving copyright modernization in late 2019.

Fiscal 2020 Priority Activities

In fiscal 2020 with a budget of \$83.990 million, USCO's priorities will include the following activities:

- The Copyright Office, working with OCIO, is preparing for the limited public release of a pilot version of ECS's automated recordation module in the second quarter of fiscal 2020. The pilot will be rolled-out in phases and will include external (public) facing features and internal (staff) features. User feedback from the limited pilot will inform subsequent development.
- The Office is engaging expert consultants to assist

in the development of an integrated management schedule for the combined Copyright Office and OCIO modernization activities. The schedule, which will consolidate all milestones and dependencies, is scheduled for delivery in the third quarter of fiscal 2020.

- The Office is preparing for final transition to its new, consolidated storage facility in the third quarter of fiscal 2020. The move will consolidate all copyright deposits and other stored materials in one location, increase the accuracy of deposit inventories, and reduce turnaround times for locating and delivering materials.
- The Office will continue its domestic law and policy support for both the House and the Senate. The Subcommittee on Intellectual Property of the Senate Judiciary Committee is scheduling a year of copyright review of the Digital Millennium Copyright Act (DMCA) in 2020.
- The Office will continue activities to implement the MMA, including promulgating regulations regarding the operation of the new blanket license under section 115 and the mechanical licensing collective. The Office will also conduct a congressionally-requested policy study on best practices to reduce the incidence of unclaimed, accrued royalties and continue its digital and physical education and outreach activities, particularly for songwriters affected by the new law.
- The Office will continue to update its regulatory processes where appropriate, including regarding registration and recordation practices, the television statutory licenses, and other Office practices.
- The Office also will continue its support to the federal courts on litigation matters and to executive branch agencies on international copyright and trade matters.
- Outreach and public education activities will continue, ranging from public Copyright Matters events to

webinars to events in universities, schools, libraries, and conferences. Work to release a new Circular 92 that reflects new legislation that passed at the end of 2019 will be reflected in both the hard copy publication and online versions.

Fiscal 2021 Priority Activities

In fiscal 2021, with the budget of \$85.792 million requested, USCO's priorities include the following

- The Copyright Office, working with OCIO, is preparing for the following ECS releases in fiscal 2021:
 - OCIO estimates a production-ready prototype will be available at the end of calendar year 2020 for the automated registration application for a digital, non-fiction, literary work. The release will invite limited public testing to obtain feedback for a development effort that will continue through September 2024.
 - OCIO also estimates that a public release of a proof-of-concept of the Copyright Office Public Record System will be available in late calendar year 2020. The system is intended to provide a highly searchable, scalable, web-based catalog that integrates registrations, recorded document records and acquisitions records.
- The Office will continue implementation efforts associated with the Orrin G. Hatch-Bob Goodlatte MMA, including regulatory activities, education and outreach activities, and delivering an MMA-related policy report to Congress regarding best practices that the mechanical licensing collective may implement by July 2021.
- Finally, the Office will continue its work to administer the Copyright Act, provide support to Congress, the courts and executive agencies, as well as continue its work on modernization initiatives.

Copyright Licensing Division

COPYRIGHT OFFICE, SALARIES AND EXPENSES

Copyright Licensing Summary By Object Class (Dollars in Thousands)						
Object Class	Fiscal 2019		Fiscal 2020 Enacted Budget	Fiscal 2021 Request Total	Fiscal 2020/2021 Net Change	Percent Change
	Operating Plan	Actual Obligations				
00 0 Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0.0%
Total, Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0.0%
11 1 Full-time permanent	\$2,224	\$1,932	\$2,352	\$2,454	\$102	4.3%
11.3 Other than full-time permanent	0	0	0	0	0	0.0%
11 5 Other personnel compensation	29	58	29	31	1	4.3%
12 1 Civilian personnel benefits	707	616	707	813	105	14.9%
13 0 Benefits for former personnel	0	22	0	0	0	0.0%
Total, Pay	\$2,961	\$2,627	\$3,089	\$3,297	\$208	6.7%
21 0 Travel & transportation of persons	\$8	\$2	\$8	\$8	\$0	2.5%
22 0 Transportation of things	1	0	1	1	0	2.6%
23 1 Rental payments to GSA	0	0	0	0	0	0.0%
23 2 Other Services	0	0	0	0	0	0.0%
23 3 Communication, utilities & misc charges	5	2	5	5	0	2.5%
24 0 Printing & reproduction	14	8	14	14	0	2.5%
25 1 Advisory & associate services	0	0	0	0	0	0.0%
25 2 Other services	421	738	490	502	12	2.5%
25 3 Other purch of goods & services from gov acc	1,570	618	1,570	1,609	39	2.5%
25 4 Operation & maintenance of facilities	0	0	0	0	0	0.0%
25 5 Research and Development Contracts	0	0	0	0	0	0.0%
25 6 Medical Care	0	0	0	0	0	0.0%
25 7 Operation & maintenance of equipment	16	2	16	16	0	2.5%
25 8 Subsistence and Support of Persons	0	0	0	0	0	0.0%
26 0 Supplies & materials	35	5	35	36	1	2.5%
31 0 Equipment	725	7	725	743	18	2.5%
41 0 Grants, subsidies & contributions	0	0	0	0	0	0.0%
42 0 Insurance claims & indemnities	0	0	0	0	0	0.0%
44 0 Refunds	0	0	0	0	0	0.0%
Total, Non-Pay	\$2,794	\$1,382	\$2,863	\$2,935	\$72	2.5%
Total, Copyright Licensing	\$5,755	\$4,009	\$5,952	\$6,232	\$280	4.7%

Copyright Licensing Analysis of Change

(Dollars in Thousands)

	Fiscal 2021 Agency Request	
	Funded	
	FTE	Amount
Fiscal 2020 Enacted Budget	23	\$5,952
Non-recurring Costs:	0	0
Mandatory Pay and Related Costs:		
Locality-based comparability pay raise January 2021 @ 3.00%		69
Annualization of January 2020 pay raise @ 3.52%		27
Within-grade increases		13
One extra day, 262 vs. 261		23
Fiscal 2019 - 2020 FERS pay increase		47
Fiscal 2020 - 2021 FERS pay increase		29
Total, Mandatory Pay and Related Costs	0	209
Price Level Changes		72
Program Increases:	0	0
Net Increase/Decrease	0	\$ 280
Total Budget	23	\$6,232
Total Offsetting Collections	0	(6,232)
Total Appropriation	23	\$0

Copyright Licensing Division

COPYRIGHT OFFICE, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$6.232 million** in offsetting collection authority for the Copyright Licensing division in fiscal 2021, an increase of \$280,000, or 4.7 percent, over fiscal 2020. This increase supports mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2019				Fiscal 2020 Enacted Budget		Fiscal 2021		Fiscal 2020/2021 Net Change		Percent Change
	Operating Plan		Actual Obligations				Request Total				
	Funded FTE	\$	FTE Usage	\$	Funded FTE	\$	Funded FTE	\$	Funded FTE	\$	
COP_Licensing	23	\$ 5,755	20	\$ 4,009	23	\$ 5,952	23	\$ 6,232	0	\$280	4.7%
Offsetting Coll		(5,755)		(4,009)		(5,952)		(6,232)		(280)	4.7%
COP_Licensing	23	\$ -	20	\$ -	23	\$ -	23	\$ -	0	\$0	0.0%

FUNDING OVERVIEW

The U.S. Copyright Office (USCO), through its licensing program, assists in the administration of certain statutory license provisions of the Copyright Act (Title 17 U.S.C.). The program collects royalty fee payments and maintains public records filed by cable operators for retransmitting television and radio broadcasts (section 111), satellite carriers for retransmitting television broadcasts (section 119), and importers or manufacturers that distribute digital audio recording technology (DART) products (section 1003). The program funds its operating costs from the filing fees and a portion of the royalty fees it collects from license users. The remaining royalty fees are fiduciary funds and the program invests and manages them on behalf of copyright owners until the Copyright Royalty Board determines how they should be disbursed. In fiscal 2020, the licensing program had a base budget of \$5.952 million/23 FTE (Pay - \$3.089 million/ Non-Pay - \$2.863 million). Licensing operations are supported fully by offsetting collection authority. There were no requested programmatic increases in fiscal 2019 or 2020.

PROGRAM OVERVIEW

The licensing program is responsible for collecting and investing royalty fees for later distribution to copyright owners, determining amounts available for distribution by the Copyright Royalty Board, examining statements filed by license users to determine that they meet statutory and USCO regulatory requirements, providing information to various constituencies as part of its public affairs activities, maintaining public records, and performing reference searches for the public and members of Congress.

Fiscal 2019 Accomplishments

In fiscal 2019, with a budget of \$5.755 million, the licensing program accomplished the following.

Core Services

- Collected over \$242 million in royalty payments and licensing filing fees from cable systems, satellite carriers, and importers and manufacturers of DART.
- Managed and invested copyright royalty fees exceeding \$1.4 billion (as of September 30, 2019) as a fiduciary for the copyright owners.
- Made distributions involving seven funds and totaling over \$130 million to copyright owners during the year.
- Achieved an unmodified (clean) opinion on its fiduciary financial statements for fiscal 2018 from an independent auditor.
- Examined thousands of statutory license users' Statements of Account (SOA).

Special Initiatives

- Entered into an agreement with a contractor to accelerate the digitization of licensing program records for easier public access
- Reviewed nearly 400,000 digitized statements of account for completeness and accuracy. This segment of the digitization project will continue through fiscal year 2020.
- Executed a project to upgrade the aging examining and processing database.
- Entered into an agreement with a contractor to explore possibilities for improving its royalty investment and accounting processes.

Fiscal 2020 Priority Activities

In fiscal 2020, with a budget of \$5.952 million, the Licensing Division's priorities include the following:

Core Services

- Continue to work with the Library of Congress's Financial Services Directorate (FSD) and its Office of the Inspector General (OIG) to facilitate annual audits and achieve unmodified (clean) opinions on the fiduciary financial statements, thereby demonstrating good stewardship of funds managed on behalf of copyright owners.

Special Initiatives

- Use the contractor recommendations for royalty investment and accounting improvements to refine the modernization plans as part of the overall USCO modernization plan.
- Continue to work to transition to mandatory Pay.gov for all SOA filing and royalty fee payments.
- Continue the digitization of SOAs.

Fiscal 2021 Priority Activities

In fiscal 2021, with the budget of \$6.232 million requested, the licensing program will continue to evaluate all licensing applications and business processes and will implement and refine royalty management improvements.

Copyright Royalty Judges

COPYRIGHT OFFICE, SALARIES AND EXPENSES

Copyright Royalty Judges Summary By Object Class (Dollars in Thousands)						
Object Class	Fiscal 2019		Fiscal 2020 Enacted Budget	Fiscal 2021 Request Total	Fiscal 2020/2021 Net Change	Percent Change
	Operating Plan	Actual Obligations				
00 0 Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0 0%
Total, Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0.0%
11 1 Full-time permanent	\$911	\$866	\$963	\$1,291	\$328	34 1%
11 3 Other than full-time permanent	0	0	0	0	0	0 0%
11 5 Other personnel compensation	7	6	7	8	0	4 3%
12 1 Civilian personnel benefits	288	266	288	438	150	52 1%
13 0 Benefits for former personnel	0	0	0	0	0	0 0%
Total, Pay	\$1,206	\$1,138	\$1,258	\$1,737	\$478	38.0%
21 0 Travel & transportation of persons	\$2	\$3	\$2	\$6	\$4	181 6%
22 0 Transportation of things	0	0	0	0	0	2 5%
23 1 Rental payments to GSA	0	0	0	0	0	0 0%
23 2 Other Services	0	0	0	0	0	0 0%
23 3 Communication, utilities & misc charges	2	2	2	8	6	253 8%
24 0 Printing & reproduction	75	174	75	277	202	269 0%
25 1 Advisory & associate services	0	0	0	0	0	0 0%
25 2 Other services	268	150	281	295	14	4 9%
25.3 Other purch of goods & services from gov acc	61	76	61	63	2	3 1%
25 4 Operation & maintenance of facilities	0	0	0	0	0	0 0%
25 5 Research and Development Contracts	0	0	0	0	0	0 0%
25 6 Medical Care	0	0	0	0	0	0 0%
25 7 Operation & maintenance of equipment	202	168	206	464	258	125 4%
25 8 Subsistence and Support of Persons	0	0	0	0	0	0 0%
26 0 Supplies & materials	8	2	8	10	2	29 1%
31 0 Equipment	5	0	5	8	3	61 3%
41 0 Grants, subsidies & contributions	0	0	0	0	0	0 0%
42 0 Insurance claims & indemnities	0	0	0	0	0	0 0%
44 0 Refunds	0	0	0	0	0	0 0%
Total, Non-Pay	\$623	\$573	\$640	\$1,130	\$491	76.7%
Total, Copyright Royalty Judges	\$1,829	\$1,711	\$1,898	\$2,867	\$969	51.1%

Copyright Royalty Judges Analysis of Change

(Dollars in Thousands)

	Fiscal 2021 Agency Request	
	Funded	
	FTE	Amount
Fiscal 2020 Enacted Budget	6	\$1,898
Non-recurring Costs:	0	0
Mandatory Pay and Related Costs:		
Locality-based comparability pay raise January 2021 @ 3.00%		28
Annualization of January 2020 pay raise @ 3.52%		11
Within-grade increases		5
One extra day, 262 vs. 261		9
Fiscal 2019 - 2020 FERS pay increase		19
Fiscal 2020 - 2021 FERS pay increase		12
Total, Mandatory Pay and Related Costs	0	85
Price Level Changes		19
Program Increases:		
CRJ Staffing	3	865
Total, Program Increases	3	865
Net Increase/Decrease	3	\$ 969
Total Budget	9	\$2,867
Total Offsetting Collections	0	(546)
Total Appropriation	9	\$2,321

Copyright Royalty Judges

COPYRIGHT OFFICE, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$2.867 million** for the Copyright Royalty Judges in fiscal 2021, an increase of \$969,000, or 51.1 percent, over fiscal 2020, offset by \$546,000 in offsetting collection authority, for a net appropriation of \$2.321 million. This increase represents \$104,000 in mandatory pay related and price level increases, and \$865,000 and 3 FTE in programmatic increases for additional staffing.

Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2019				Fiscal 2020 Enacted Budget		Fiscal 2021		Fiscal 2020/2021 Net Change		Percent Change
	Operating Plan		Actual Obligations				Request Total				
	Funded FTE	\$	FTE Usage	\$	Funded FTE	\$	Funded FTE	\$	Funded FTE	\$	
COP_CRJ	6	\$ 1,829	5	\$ 1,711	6	\$ 1,898	9	\$ 2,867	3	\$969	51.1%
Offsetting Coll		(517)		(473)		(530)		(546)		(16)	3.0%
COP_CRJ	6	\$ 1,312	5	\$ 1,238	6	\$ 1,368	9	\$ 2,321	3	\$953	69.7%

FUNDING OVERVIEW

In fiscal 2020, the Copyright Royalty Judges (CRJ) program has a budget of \$1.898 million / 6 FTE (Pay - \$1.258 M/ Non-Pay - \$0.640 M) to carry out its mission under the Copyright Act. Offsetting collections totaling \$530,000 credit this appropriation, providing CRJ a net appropriation of \$1.368 million. There were no requested programmatic increases in fiscal 2019 or 2020.

PROGRAM OVERVIEW

Congress established the CRJ program in chapter 8 of the Copyright Act to:

- Determine royalty rates and terms for statutory licenses that authorize licensees to transmit copyrighted sound recordings via cable, satellite, or over the Internet.
- Adjudicate proceedings to determine the appropriate allocation among copyright owners of statutory license royalties deposited with the U.S. Copyright Office.
- Facilitate the Copyright Office’s administration of statutory licenses for the use of copyrighted works.
- Determine the amount and terms of an administrative assessment on digital music services to fund the collective established under the Music Modernization Act (MMA) to collect and distribute royalties for the reproduction and distribution of copyrighted musical works.

Fiscal 2019 Accomplishments

In fiscal 2019, with a budget of \$1.829 million, the CRJ program accomplished the following:

- Approved distribution of approximately \$131 million to copyright owners from nine royalty funds.
- Concluded five distribution proceedings and five rate-setting proceedings.
- Published proposed and final rules governing proceedings to determine the administrative assessment to fund the Mechanical Licensing Collective created under the Music Modernization Act
- Commenced four distribution proceedings, two rate-setting proceedings, and one proceeding to determine the administrative assessment to fund the Mechanical Licensing Collective.
- Published five notices announcing receipt of notices of intent to audit, three notices requesting comments on partial distribution motions, and three notices announcing cost of living adjustments to established royalty rates.
- Awarded contracts for multiple enhancements to their electronic filing and case-management system (eCRB) and, under a separate contract, ingested into eCRB years of legacy records relating to royalty proceedings, thereby making the records readily available to the public.

Fiscal 2020 Priority Activities

In fiscal 2020, with a budget of \$1.898 million, the CRJ program's priorities include the following:

- Conduct proceedings to determine rates and terms for digital transmission of sound recordings, and making of ephemeral recordings, by eligible non-subscription services and by new subscription services.
- Conclude proceedings to determine the administrative assessment to fund the Mechanical Licensing Collective established under the Music Modernization Act.
- Commence proceedings to adjust royalty rates for secondary transmissions of broadcast programming by cable systems.
- Conduct proceedings to determine the appropriate allocation of royalties held by the Copyright Office in respect of secondary transmissions of broadcast programming by cable systems and satellite providers in 2014 through 2017.
- Conclude the proceeding to determine the appropriate allocation of royalties held by the Copyright Office in respect of secondary transmissions of broadcast programming by satellite providers in 2010-2013.
- Conclude several proceedings to determine distribution of Audio Home Recording Act royalties held by the Copyright Office from claim years 2007 through 2015.
- Continue to facilitate the prompt and efficient distribution of royalties held by the Copyright Office by authorizing partial distributions of funds, where appropriate.
- Continue ongoing administration of statutory licenses by publishing notices of intent to audit and cost of living adjustments to established royalty rates.
- Conclude a rulemaking to establish new rules governing royalty distribution proceedings.
- Conclude a rulemaking establishing standards of conduct for participants in proceedings before the CRJs.
- Conclude a rulemaking to update reporting require-

ments for webcasters.

- Deploy enhancements to eCRB to improve the user experience and improve efficiency of the CRJ program.
- Continue the digitization of legacy records and ingestion of those records into eCRB.

Fiscal 2021 Priority Activities

In fiscal 2021, with a budget of \$2.867 million requested, the CRJ program's priorities include the following:

- Increase staff capacity by three to benefit public and support the administration of new responsibilities under the MMA.
- Conclude proceedings to determine rates and terms for digital transmission of sound recordings, and making of ephemeral recordings, by non-subscription services and by new subscription services.
- Commence proceedings to determine rates and terms for making and distributing reproductions of musical works and for the use of certain works in connection with noncommercial broadcasting.
- Conclude proceedings to determine the appropriate allocation of royalties held by the Copyright Office in respect of secondary transmissions of broadcast programming by cable systems and satellite providers in 2014 through 2017.
- Continue to facilitate the prompt and efficient distribution of royalties held by the Copyright Office by authorizing partial distributions of funds, where appropriate.
- Commence a rulemaking to update and streamline procedural rules for the CRJ program.
- Continue ongoing administration of statutory licenses by publishing notices of intent to audit and cost of living adjustments to established royalty rates.
- Commence the next phase of digitization of legacy records and ingestion into eCRB.
- Commence the next round of enhancements to eCRB based on user feedback.
- Modernize facilities for conducting live hearings.

CONGRESSIONAL RESEARCH SERVICE, SALARIES AND EXPENSES

Congressional Research Service, Salaries and Expenses						
Summary By Object Class						
(Dollars in Thousands)						
Object Class	Fiscal 2019		Fiscal 2020 Enacted Budget	Fiscal 2021	Fiscal 2020/2021 Net Change	Percent Change
	Operating Plan	Actual Obligations		Request Total		
00 0 Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0.0%
Total, Lapse Reserve	\$0	\$0	\$0	\$0	\$0	0.0%
11 1 Full-time permanent	\$73,774	\$72,100	\$77,348	\$81,783	\$4,436	5.7%
11 3 Other than full-time permanent	1,289	1,205	1,289	1,340	51	3.9%
11 5 Other personnel compensation	817	649	817	849	32	3.9%
11 8 Special personal services payment	85	0	85	88	3	3.1%
12 1 Civilian personnel benefits	23,234	22,514	23,234	27,238	4,004	17.2%
13 0 Benefits for former personnel	30	30	30	31	1	3.1%
Total, Pay	\$99,229	\$96,497	\$102,803	\$111,330	\$8,526	8.3%
21 0 Travel & transportation of persons	\$234	\$214	\$234	\$240	\$6	2.5%
22 0 Transportation of things	0	0	0	0	0	2.7%
23.1 Rental payments to GSA	0	0	0	0	0	0.0%
23 3 Communication, utilities & misc charges	600	552	600	615	15	2.5%
24 0 Printing & reproduction	28	28	28	29	1	2.5%
25 1 Advisory & associate services	6,536	8,236	6,536	6,700	163	2.5%
25 2 Other services	2,067	2,108	2,067	2,143	76	3.7%
25 3 Other purch of goods & services from gov acc	7,202	7,357	104	107	3	2.5%
25 4 Operation & maintenance of facilities	0	0	0	0	0	0.0%
25 5 Research and Development Contracts	0	0	0	0	0	0.0%
25 7 Operation & maintenance of equipment	1,795	2,031	1,795	1,867	73	4.0%
25 8 Subsistence and Support of Persons	0	0	0	0	0	0.0%
26 0 Supplies & materials	4,855	4,777	4,855	4,976	121	2.5%
31 0 Equipment	3,142	3,774	1,473	1,510	37	2.5%
Total, Non-Pay	\$26,459	\$29,077	\$17,692	\$18,186	\$495	2.8%
Total, CRS, S&E	\$125,688	\$125,574	\$120,495	\$129,516	\$9,021	7.5%

Congressional Research Service Analysis of Change

(Dollars in Thousands)

	Fiscal 2021 Agency Request	
	Funded	
	FTE	Amount
Fiscal 2020 Enacted Budget	621	\$120,495
Non-recurring Costs:	0	0
Mandatory Pay and Related Costs:		
Locality-based comparability pay raise January 2021 @ 3.00%		2,300
Annualization of January 2020 pay raise @ 3.52%		899
Within-grade increases		411
One extra day, 262 vs. 261		407
Fiscal 2019 - 2020 FERS pay increase		1,612
Fiscal 2020 - 2021 FERS pay increase		988
Total, Mandatory Pay and Related Costs	0	6,617
Price Level Changes		471
Program Increases:		
Science and Technology Research Capacity	12	1,933
Total, Program Increases	12	1,933
Net Increase/Decrease	12	9,021
Total Budget	633	\$129,516
Total Offsetting Collections	0	0
Total Appropriation	633	\$129,516

Fiscal 2021 Program Changes: \$1.933 million

Science & Technology Research Capacity: \$1.933 million/12 FTE

The CRS is committed to continuing its long tradition of providing the highest quality research, analysis, information and confidential consultation to support Congress's legislative, representational and oversight duties. This unique responsibility requires a robust roster of qualified experts who excel at providing nonpartisan, objective, authoritative, and confidential support. In the conference report accompanying the Energy and Water, Legislative Branch, and Military Construction and Veterans Affairs Appropriations Act, 2019 (P.L. 115-244), the Congress clearly articulated the need for robust science and technology legislative policy analysis and research, stating, "The Committees have heard testimony on, and received dozens of requests advocating for restoring funding to the Office of Technology Assessment, and more generally on how Congress equips itself with the deep technical advice necessary to understand and tackle the growing number of science and technology policy challenges facing our country."

As directed in the conference report accompanying H.R. 5895, House Report 115-929, the Congressional Research Service (CRS) contracted with the National Academy of Public Administration (NAPA) to conduct a review of the current available resources for science and technology assessments in the Legislative Branch. Moreover, the study tasked NAPA with making recommendations for ways to enhance science and technology support to the Congress. The final report identified gaps in various services currently available, as well the need for additional support. NAPA recommended, in part, that the Congress enhance existing congressional support agencies to expand and enhance science and technology support to the Congress. NAPA recommended that CRS continue to expand and enhance research capacity for its extensive consultative services on science and technology policy-related issues.

As noted in the NAPA report, the Congress requires CRS to increase the depth and breadth of science and technology research and legislative policy analysis. The rapid pace of science and technology innovation and the adoption and integration of those technologies into products and services could potentially lead to a wide range of economic and societal impacts. As a result, the congressional need for timely and complex analysis of policy issues related to these technologies, the role of the federal government and the effects of federal policies across all sectors will continue to grow. In some instances, comprehensive analysis will require an interdisciplinary approach, using complex modeling methodology.

As an example, the Congress recently expressed interest in

transforming U.S. energy generation technology, with an increased focus on renewables, offshore generation and the export of hydrocarbon fuels. Evolving energy and resource priorities require specialized expertise to assess the industrial and ecosystem impacts of policy options. The changing climate is another example of a multifaceted science and technology issue that requires a multidisciplinary approach to evaluate both governmental and private sector efforts to identify, plan for, address and ameliorate subsequent impacts.

Cybersecurity, federal government information policy and information technology management also raise critical policy issues for a 21st century Congress. For example, the security and protection of large amounts of data held by both private sector companies and the federal government is dependent on effective information technology and data management policy. Comprehensive analysis of policy options will facilitate the efficient management of both private sector and government technology and information assets.

The Library is requesting \$1.933 million to enhance the depth and breadth of the Congressional Research Service's (CRS) research capacity by adding 12 FTE in subject areas related to science and technology policy to meet the demonstrated needs of the Congress. This additional research capacity will provide more robust and timely support across a spectrum of current and emerging legislative issues related to science and technology such as: cybersecurity, natural resources, renewable fuels, climate change, and federal uses and oversight of science and technology.

The science and technology research and legislative policy analysis positions requested within CRS are as follows:

1. Analyst in Financial Technology and Cybersecurity (one - GS-13)

Congress continues to express interest in innovations in financial technology. Financial technology has the potential to alter the financial services marketplace by enabling the entry of new companies and an array of products and services that do not align with the current regulatory framework. Financial services companies continue to gather significant amounts of consumer data, which increasingly raises cybersecurity and consumer protection concerns. This analyst will focus on financial technology and financial cybersecurity as it relates to the technology undergirding developments in these areas and the uncertain regulatory landscape.

2. Analyst in American National Government (Government Information Policy) (one - GS-13)

This position will focus on policy aspects of the Privacy

Act and other federal privacy regulations; the Freedom of Information Act (FOIA); information sharing; records management; and federal government collection, use and dissemination of information. This position will also address forward-looking issues such as the federal government's increasing reliance on large data stores to inform decision making and policies, such as OMB's growing emphasis on evidence-based policymaking.

3. Analyst, Data Innovation and Governance Policy (one - GS-13)

This position will ensure that the Service has the capability to provide analysis of the complex issues associated with big data, including discoverability, accessibility, ownership, accuracy, and security. This includes the role of the federal government and the effects of federal policies across all sectors.

4. Analyst in Ocean Resources (one - GS-13)

This position will ensure that the Service can provide analysis of changing uses and competing priorities in the energy and environment space associated with the oceans and their use. This includes the capacity to assess the impacts on the ecosystem from increased ocean temperature and acidity, living resource depletion and increased energy generation.

5. Analyst in Resilience and Risk Reduction (one - GS-13)

This position will ensure that the Service has the capacity to provide analysis of cross-cutting resilience and risk mitigation policies associated with the impacts of natural disasters and a changing climate on communities and infrastructure. This includes policies associated with the impacts of drought, wildfire, coastal and inland flooding, and earthquakes

6. Analyst in Renewable Technologies (one - GS-13)

This position will ensure that the Service can assess emerging trends and capabilities associated with adoption and deployment of renewable energy technologies and infrastructure, advances in material science and competing arguments regarding efficacy and efficiency of renewables.

7. Analyst in Environmental Modeling (one - GS-13)

This position will ensure that the Service has the capacity to provide analysis of scientific models that seek to explain short and long-term effects of greenhouse gasses on the atmosphere and climate. The ability to understand and assess fundamental effects and assumptions in these models, the effects of various policy proposals, and the

feasibility of domestic and international efforts requires scientific expertise that bridges the scientific and policy space

8. Analyst in Climate Science (one - GS-13)

This position will ensure that the Service can provide analysis of the multi-disciplinary aspects of climate change policy and a whole-of-government perspective on climate change mitigation, impacts and adaptation policy issues. The federal, state and local concerns about the impacts of a changing climate will continue to focus policy discussions on governmental and private sector efforts to identify, plan for, address and ameliorate arising impacts.

9. Analyst in Technology and Innovation Policy (one - GS-13)

This position will ensure that the Service has the capability to evaluate technology trends in key sectors that drive innovation and technological change, the impact of these technologies on different aspects of the economy (e.g., precision agriculture, the Internet of things, hypersonic air travel) and the effects of changes in federal policies and programs on these sectors.

10. Analyst in Science, Technology and Society (one - GS-13)

This position will ensure that the Service has the capability to provide analysis of the social dimensions of emergent technology and the policy implications associated with the wide-spread adoption of these technologies. This includes topics such as the ethics of big data and algorithms and the impacts of automation and artificial intelligence on the workforce.

11. Analyst in Industrial Innovation (one - GS-13)

This position will ensure that the Service has the capability to analyze the impact of digitization on businesses and industries, including changes over a wide-range of issues such as advanced manufacturing, expanded access to cloud computing and collection and storage of user data, human/machine interface concerns, and workforce development and retraining.

12. Analyst in Industrial Technology (one - GS-13)

This position will ensure that the Service has the capability to analyze the increasing convergence of industrial technologies with various aspects of life. Examples of policy issues surrounding industrial technologies include questions regarding increased automation, such as with autonomous vehicles, smart manufacturing and drone deployment.

Congressional Research Service

CONGRESSIONAL RESEARCH SERVICE, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$129.516 million** for the Congressional Research Service in fiscal 2021, an increase of \$9.021 million, or 7.5 percent, change from fiscal 2020. This increase includes \$7.088 million for mandatory pay related and price level increases and a programmatic increase of \$1.933 million and 12 FTE for Science and Technology Research Capacity.

Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2019						Fiscal 2020 Enacted Budget		Fiscal 2021		Fiscal 2020/2021 Net Change		Percent Change
	Operating Plan			Actual Obligations					Request Total				
	Funded FTE	\$	FTE Usage	\$	Funded FTE	\$	Funded FTE	\$	Funded FTE	\$			
CRS	621	\$ 125,688	604	\$ 125,574	621	\$ 120,495	633	\$ 129,516	12	\$9,021	7.5%		

FUNDING OVERVIEW

In fiscal 2020, the Congressional Research Service (CRS) has a budget of \$120.495 million/621 FTE (Pay - \$102.803 M/ Non-Pay - \$17.692 M) which supports capacity to meet the legislative support and research needs of the Congress. Of this funding, CRS did not request a programmatic increase in fiscal 2020. In the two prior fiscal years, CRS received \$3.496 million/28 FTE to support staffing and \$4 million (non-recurring in fiscal 2023) to modernize IT systems.

Funded Programmatic Increases

Strengthening Support in Areas of High Congressional Demand

Fiscal 2018

- \$753,000 for eight FTE (temporary NTE 3-5 years);
- Targeted research support (two FTE each) for: Defense Policy and Budget, Health Policy, Education Policy, Budget and Appropriation;
- Current status. All positions were filled. One position has been vacated and is currently being reposted.

Integrated Research and Information System (IRIS)

Fiscal 2018

- \$4 million added (non-recurring in fiscal 2023) for IT modernization in CRS;
- A joint project – CRS is the business owner for the IT systems, LOC Office of Chief Information Officer (OCIO) provides technical support for modernization efforts;
- In fiscal 2018, contract was awarded (base +option year) to modernize the CRS authoring and publishing platform;

- At the end of the first year, the contractor delivered a pilot product for testing by 50 CRS and OCIO staff;
- The option year was exercised in fiscal 2019. Contractor is implementing improvements from pilot product test results, towards delivery of a viable product;
- After acceptance of viable product, training and deployment will occur to bring the authoring and publishing tool online by the summer of 2020,
- Fiscal 2020 activities include contract awards and kickoff on other modernization projects. Text Analysis Protocol (TAP), Mercury 2.0 client relationship and workflow management system, data metrics, and taxonomy tools.

Strengthening CRS Capacity

Fiscal 2019

- \$2.743 million for 20 FTE (GS-13) to support direct research and policy analysis for Congress
- All positions were filled by the end of fiscal 2019.

PROGRAM OVERVIEW

The Congressional Research Service provides the Congress with timely, objective, authoritative, and confidential research and analysis to support its legislative, oversight, and representational functions. Members of the House and Senate, personal office staff, and committee staff are the beneficiaries of CRS’ efforts. Acting as a pooled staff resource, CRS experts provide: tailored confidential memoranda, personalized briefings and consultations, expert testimony, seminars, and written products on a variety of legal and policy issues.

Congress relies on CRS to marshal interdisciplinary resources,

apply critical thinking, and create innovative frameworks to help legislators evaluate and develop sound legislative options and make decisions that will guide and shape present and future national policy.

Fiscal 2019 Accomplishments

In fiscal 2019, with the budget of \$125.688 million, CRS' priorities included the following:

- The Service supported Congress during all stages of the legislative process and across a range of public policy issues. This support included:
 - examining the nature and extent of challenges facing Congress;
 - identifying and assessing policy options;
 - assisting with hearings on policy proposals and implementations;
 - supporting congressional review of nominations and treaties;
 - products, briefings and consultations to address issues on the legislative agenda.
- Responded to over 71,000 requests for legislative policy analysis and information from Members, congressional staff, and committees, an increase of 12 percent from 2018;
- Requests included almost 6,500 in-person briefings, a 34 percent increase from 2018;
- Prepared 1100 new products and updated over 2,500 existing products;
- Conducted 275 seminars attended by over 9,200 congressional staff, attendance increasing seven percent over 2018;
- Published all 9,687 non-confidential products to the public web site,
- Provided an intensive orientation to the issues of policy, practice and procedure for 70 freshman members of the 116th Congress at the New Members Seminar;
- Educated congressional staff on the use of Congress.gov in preparation for the retirement of the Legislative Information System (LIS);
- Implemented data analytics in a variety of ways to assess product output, gauge client usage, reveal trends in policy interests and measure the capture of institutional knowledge.
- Launched an initial version of the Constitution of the United States of America: Analysis and Interpretation (CONAN) web site on Constitution Day (September 17, 2019);

- Completed the first phase of the IRIS project, producing an authoring and publishing system document prototype for testing and evaluation;
- Identified strategies to improve recruitment and retention of staff;
- Supported an inclusive work environment that values diversity;
- Implemented actions and strategies to meet the goals outlined in the CRS Fiscal 2019 – Fiscal 2023 Directional Plan. The strategic goals are:
 - Enhance service and access for all of Congress
 - Optimize resource utilization
- Launched the CRS Research Portal, aimed at curating research materials gathered by analysts, attorneys and librarians on selected public policy issues

Fiscal 2020 Priority Activities

In fiscal 2020, with the budget of \$120.495 million, CRS' priorities include the following:

- Providing Congress with timely, authoritative, non-partisan and objective legislative policy support;
- Implement and maintain staff programs that support recruitment, retention and continued professional development for a diverse and accomplished workforce;
- Initiate a survey instrument to measure Congress's satisfaction with CRS products and services;
- Provide additional improvements to search and other user tools in the Constitution Annotated (CONAN);
- Complete the second phase of the IRIS project to deploy a modern authoring and publishing system;
- Retire LIS from congressional use in November 2019. CRS continues to create content and congressional user support for Congress.gov.

Fiscal 2021 Priority Activities

In fiscal 2021, with the budget of \$129.516 million requested, CRS' priorities include the following:

- Continue to provide Congress with our core services including timely, objective, non-partisan and authoritative consultations and legislative policy support;
- Continue presenting informative and comprehensive seminars on current and relevant issues of congressional interest;
- At the direction of the Committee on House Administration, prepare and deliver a New Members Seminar, in January 2021;

- Apply the programmatic increase to enhance the CRS science and technology research and legislative policy analysis capacity. This will result in expanded science and technology research support, which will inform and facilitate congressional deliberations;
- In conjunction with OCIO, continue to develop and deploy new IT tools and software to modernize CRS systems and retire legacy systems;
- Maintain and develop a diverse and inclusive workforce that provides superior service to Congress and its committees.

NLS FOR THE BLIND AND
PRINT DISABLED,
SALARIES AND EXPENSES

NLS for the Blind and Print Disabled, Salaries and Expenses						
Summary By Object Class						
(Dollars in Thousands)						
Object Class	Fiscal 2019		Fiscal 2020 Enacted Budget	Fiscal 2021		Percent Change
	Operating Plan	Actual Obligations		Request Total	Fiscal 2020/2021 Net Change	
00 0 Lapse Reserve	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	0.0%
Total, Lapse Reserve	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	0.0%
11 1 Full-time permanent	\$9,914	\$9,316	\$10,675	\$11,131	\$456	4.3%
11 3 Other than full-time permanent	402	360	402	419	17	4.3%
11 5 Other personnel compensation	125	107	125	130	5	4.3%
11 8 Special personal services payment	0	0	0	0	0	0.0%
12 1 Civilian personnel benefits	3,075	2,961	3,178	3,668	490	15.4%
13 0 Benefits for former personnel	10	2	10	10	0	3.5%
Total, Pay	\$13,526	\$12,746	\$14,390	\$15,359	\$968	6.7%
21 0 Travel & transportation of persons	\$ 214	\$ 212	\$ 214	\$ 220	\$6	2.8%
22 0 Transportation of things	60	25	60	62	2	2.5%
23 1 Rental payments to GSA	2,950	2,838	2,950	3,024	74	2.5%
23 3 Communication, utilities & misc charges	249	195	347	356	9	2.5%
24 0 Printing & reproduction	936	886	936	959	23	2.5%
25 1 Advisory & associate services	6,636	7,280	6,636	6,802	166	2.5%
25 2 Other services	4,383	4,147	8,309	8,517	208	2.5%
25 3 Other purch of goods & services from gov acc	1,486	1,346	363	393	10	2.5%
25 4 Operation & maintenance of facilities	8	21	8	8	0	2.5%
25 5 Research and Development Contracts	515	15	515	528	13	2.5%
25 7 Operation & maintenance of equipment	134	171	134	139	6	4.3%
25 8 Subsistence and Support of Persons	50	18	50	51	1	2.5%
26 0 Supplies & materials	277	323	277	283	7	2.5%
31 0 Equipment	21,359	22,209	23,354	23,938	584	2.5%
Total, Non-Pay	\$ 39,257	\$ 39,686	\$ 44,173	\$ 45,280	\$ 1,108	2.5%
Total, BBPH, S&E	\$ 52,783	\$ 52,432	\$ 58,563	\$60,639	\$ 2,076	3.5%

NLS for the Blind and Print Disabled, S&E Analysis of Change

(Dollars in Thousands)

	Fiscal 2021 Agency Request	
	Funded	
	FTE	Amount
Fiscal 2020 Enacted Budget	115	\$58,563
Mandatory Pay and Related Costs:		
Locality-based comparability pay raise January 2021 @ 3.00%		323
Annualization of January 2020 pay raise @ 3.52%		126
Within-grade increases		57
One extra day, 262 vs. 261		106
Fiscal 2019 - 2020 FERS pay increase		218
Fiscal 2020 - 2021 FERS pay increase		137
Total, Mandatory Pay and Related Costs	0	968
Price Level Changes		1,108
Program Increases:		
Net Increase/Decrease	0	\$ 2,076
Total Budget	115	\$60,639
Total Offsetting Collections	0	0
Total Appropriation	115	\$60,639

NLS for the Blind and Print Disabled

NLS FOR THE BLIND AND PRINT DISABLED, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$60.639 million** for the National Library Service for the Blind and Print Disabled in fiscal 2021, an increase of \$2.076 million, or 3.5 percent, over fiscal 2020. This increase represents \$2.076 million for mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

Appropriation/PPA	Fiscal 2019				Fiscal 2020 Enacted Budget		Fiscal 2021		Fiscal 2020/2021 Net Change		Percent Change
	Operating Plan		Actual Obligations				Request Total				
	Funded FTE	\$	FTE Usage	\$	Funded FTE	\$	Funded FTE	\$	Funded FTE	\$	
BBPD	113	\$ 52,783	103	\$ 52,432	115	\$ 58,563	115	\$60,639	0	\$2,076	3.5%

FUNDING OVERVIEW

In fiscal 2020, the National Library Service for the Blind and Print Disabled (NLS) has a budget of \$58.563 million/115 FTE (Pay - \$14.390 M/ Non-Pay - \$44.173 M) which supports the free reading program blind and print disabled patrons of United States citizens. Of this funding \$7.375 million/ 2 NTE was newly appropriated in fiscal 2020 to support the Braille and Audio Reading Download (BARD) Infrastructure Modernization (\$5 M/2 NTE), and Braille eReader and Talking Book Machine (\$2.375M) initiatives. The BARD Modernization initiative includes short-term funding of \$4.560 million for contractual services for agile development that will non-recur in fiscal 2023, leaving an ongoing base increase of \$440,000 for operation and maintenance expenses. The \$2.375 million for the Braille eReader initiative will non-recur in fiscal 2025 after the eReader and Talking Book Machine inventory is replenished.

Funded Programmatic Increases

Braille eReader and Digital Talking Book Machine

Fiscal 2020

- Procure 2,000-4,000 eReader devices for the eReader pilot program.
- Begin (dual) eReader pilot program by distributing eReaders to multiple NLS network libraries to study all aspects of implementation and functionality before full-scale national distribution.

Fiscal 2021

- Procure next tranche of approximately 2,000-4,000 eReader devices.
- Begin national roll-out of new eReader device.
- Finalize analysis of Digital Talking Book Machines (DTBM) needed to maintain necessary patron-based inventory.

Fiscal 2022 and out

- If DTBM inventory and usage analysis render necessary, purchase approximately 5,000 DTBMs to maintain necessary patron-based inventory.
- Continue the acquisition of eReaders with purchase of approximately 1,000-2,000 eReaders. If acquisition of DTBMs are rendered unnecessary, purchase approximately 2,000-4,000 new eReaders for distribution.

NLS BARD Modernization

Fiscal 2020

- Continue to work with OCIO to transform BARD by making it cloud-hosted (BARD 1.5). This is essential to meeting the bandwidth and functional needs of NLS' growing patron base.
- NLS and OCIO will complete BARD alpha testing Phase 1.
- NLS and OCIO will begin BARD beta testing
- NLS establishes baseline for customer satisfaction.

Fiscal 2021

- Continue transition to fully cloud-hosted environment (BARD 1.5).
- Develop and implement appropriate security-protection mechanism.
- Implement API manager.

Fiscal 2022 and out

- Complete BARD's transition to cloud-hosted environment (BARD 2.0).
- Develop cloud-native services, including Services API.

- Migrate all services that use BARD API to managed API interfaces.

PROGRAM OVERVIEW

Originating from a congressional mandate, since 1931 the National Library Service for the Blind and Print Disabled (NLS) has been utilizing a national network now comprised of 100 cooperating libraries to provide books, magazines, musical scores, foreign language materials, locally produced materials, and texts in braille and recorded formats to blind and print disabled individuals in the United States and U.S. citizens living abroad.

In order *That All May Read* NLS is:

- Increasing availability and discoverability by:
 - Working to increase access by modifying its accepted certifying authorities.
 - Working with the Librarian of Congress and with NLS stakeholders, proposing an expanded list of professionals able to certify eligibility for a reading disability and drafting policy change language necessary to make it easier for patrons and potential patrons to sign-up for services.
- Elevating digital experiences by:
 - Enhancing digital delivery through making BARD more scalable, user-friendly, and flexible, including transitioning patrons to BARD once it has migrated to the cloud
 - Enhancing patron self-service capabilities by enabling an intuitive access system.
 - Piloting and rolling out new braille eReaders and next-generation digital talking book devices in an effort to provide a full menu of options for its preferentially diverse patrons
- Modernizing its operations by:
 - Implementing a NLS business modernization plan (i.e., via a new modernization office and unit-wide realignment), utilizing a request (if approved) for BARD modernization, focusing on building out various cloud infrastructures, and working to provide for the digital delivery of content via new devices
- Continuing to understand its users better (and be a fully and proactively data-driven organization) by:
 - Fully incorporating research findings into communications and outreach initiatives to current and potential patrons.

Fiscal 2019 Accomplishments

With a budget of \$52,783 million in fiscal 2019, NLS accomplished the following

Core Services

- Continued adding thousands of titles to core collections (braille, audio, and BARD collections), including both NLS and network-produced braille and talking book titles, and converted commercially recorded audio titles to the talking book format. Currently has over 286,000 book records and BARD now contains approximately 114,000 books and approximately 18,000 magazine issues.
- The NLS network of 100 state and local libraries circulated more than 21 million books and magazines in fiscal 2019.
 - Continued to support network library staff through training opportunities, consultant visits, and ongoing communications such as its *NLS on the Move*, *Talking Book Topics*, *Braille Book Review*, *Operations Alerts*, and distributed reference publications.
- Expanded the Duplication on Demand technology to 12 more network libraries whereby these libraries can receive content electronically, avoid stockpiling physical inventories, and fulfill individual requests from patrons more quickly with content-customized cartridges containing one or multiple audio files. This important program has now expanded to 28 collaborative partners.
- Duplication of Demand technology was adopted by the NLS overseas library service (for U.S. citizens abroad who are NLS patrons) and was integrated with another circulation system used by nearly half of NLS' network libraries
- Continued to report to and collaborate with congressional partners in service of both NLS' statutory mandate and Congress' constitutional oversight prerogative, in particular by responding to inquiries regarding the relocation of NLS closer to the Capitol Complex to better fulfill its mission, serve its patrons, and maximize collaboration with the Library
- Continued to modernize for the 21st century by formally updating its institutional name to better descriptively reflect its patrons and by incorporating a new logo.

Special Initiatives

- Continued to research and investigate next generation devices (i.e., smart phones and smart speakers) to prepare for respective pilot programs, continued development, and eventual device selection(s) for patron introduction.

- Completed initial comprehensive analysis of NLS' patron-based data needs (i.e., number of next-generation devices needed and quantity of data necessary per patron).
- Completed selection of eReader models to pilot as well as outreach to pilot participants.
- Completed its multiyear, multimedia advertising/outreach campaign which included digital outreach and television and radio advertising. The campaign received excellent feedback from network libraries and resulted in notable increases in requests for information about NLS service (i.e., digital ads resulted in 83,297,292 impressions, 814,125 campaign web site visits, and 39,010 requests for information. 65,321 calls were directly attributed to the television and radio outreach).
- Contracted with Gallup research to conduct primary research about NLS's current patrons as well as potential patrons regarding their use of technology and preferences for receiving information. Gallup's findings will be incorporated into NLS outreach and communications operations as well as its modernization strategies.
- Continued to seek collaborative opportunities both within the LOC and with similarly situated entities through partnerships with the Veterans Administration and events like the NLS-sponsored November concert event in the Coolidge Auditorium featuring the *José André Trio*.
- Receive the first 2,000 eReader devices for the eReader pilot program. Will distribute eReaders to multiple NLS network libraries to study all aspects of implementation and functionality before full-scale distribution.
- Via collaboration with the Office of the Chief Information Officer (OCIO), will complete phase 1 of the development and integration of its Production Information Control System (PICS-2), the IT system central to NLS content production. The new system will allow for more efficient work processes as well as better tracking and utilization of program inputs.
- Incorporate Gallup-based findings into its decision-making, risk assessments, and patron analysis as next generation devices are developed, web site and outreach efforts are redesigned to more precisely serve patrons and would-be patrons, and defines best practices to continuously gather more feedback from patrons
- Complete pilot program for reading disabled individuals initiated at the beginning of fiscal 2019. Pilot program and data ascertained will strongly enlighten as to contextual probability of new patrons once certification of eligibility is expanded to all those with reading disabilities.

Special Initiatives

- Continue to work with OCIO to transform BARD by moving it to the cloud, restructuring its component parts, and ultimately servicing it cloud-based, micro-targeted, and fully agile to meet the bandwidth and functional needs of NLS' growing patron base.
- Continue research on its locked down smartphone pilot (including synthetic text-to-speech) as well as its smart speaker pilot (also including synthetic text-to-speech). Each will be field-tested in fiscal 2020.
- Pilot (dual) eReader devices as it moves to clarify device specifications in anticipation of a national roll-out (acquisition of initial tranches of distributed eReaders is dependent on pending 2021 congressional funding approval).
- Establish a vital NLS Modernization Office within the Deputy Director's Office that will collaborate with OCIO in the development of modernized eReader and BARD programs.
- Develop and execute a pilot to implement self-service capabilities by creating an intuitive access system allowing BARD signees to avoid having to fill out an entire online application.
- Will begin IT design of Marrakesh Treaty implementation to allow for international exchange of digital content.

Fiscal 2020 Priority Activities

With an enacted budget of \$58,563 million, NLS set out the following goals for fiscal 2020.

Core Services

- Continue adding titles to the collections, including network-produced braille and talking book titles, NLS-produced narration and transcription, and commercially recorded audio titles converted to the talking book format. NLS will not only continue to utilize award winning recording studio to ensure that human narration products are always available to NLS patrons but will also continue to emphasize the fact that "discoverability is the new accessibility" by building upon its efforts to provide full-spectrum accessibility options to patrons (i.e., tactile graphics and image descriptions) instead of mere text-only-based content.
- Continue the expansion of Duplication on Demand to network libraries with the incorporation of Duplication on Demand into more than two dozen new cooperating libraries.

Fiscal 2021 Priority Activities

With a requested budget of \$60.639 million, NLS sets out the following goals for fiscal 2021.

Core Services

- Roll-out and implement initial next generation smart-phone and smart speaker devices, both of which will utilize synthetic text-to-speech and voice-user-interface capabilities.
- Executing approved modernization efforts, will continue to roll-out between 2,000-4,000 new eReader devices.
- Executing approved modernization efforts, will continue to work with the OCIO to transform BARD so that it can serve as the primary platform for the next generation of NLS service delivery by having micro-service architecture and scalability. This is essential to NLS' future ability to serve its patrons.
- In collaboration with OCIO, will continue PICS-2 integration and implementation and Patron Information Machine Maintenance System (PIMMS) cloud migration and integration. PICS-2 is the second version of the NLS Production Information Control System, the system that automates NLS' most critical business processes (those associated with the production of talking and braille books and magazines). The PIMMS is NLS' central system for the

network-based tracking of patron and equipment information. Both modernizing efforts are vital to the future efficiency and reliability of both NLS services and to the network and patron data used to improve those services.

- Building from the insights gleaned from the fiscal 2020 reading disabilities pilot, will seek to modify (i.e., expand) the list of certifying authorities as well as the policy process for patrons to sign-up.
- Use the results of the fiscal 2020 self-service pilot to execute and implement a Service-wide roll-out of intuitive self-service capabilities for those signing up for NLS via BARD.
- Implement Marrakesh Treaty based file exchange and repository system to fully allow NLS to exchange digital material with Marrakesh-authorized authorizing entities in other nations.

Special Initiatives

- Continue to work with Congress and the Architect of the Capitol (AOC) to implement Congress' mandate to move closer to Capitol Hill in the manner and timeframe so directed.
- Initiate, implement, and complete an internal reorganization to right-size the organization and better align its resources with the mission and patrons.

REIMBURSABLE FUNDS

Reimbursable Funds Summary by Object Class (Dollars in Thousands)

Object Class	Fiscal 2019 Actual Obligations	Fiscal 2020	Fiscal 2021 Request	2020/2021 Net Change	Percent Change
11 1 Full-Time Permanent	\$ 1014	\$ 444	\$ 1386	\$942	212.3%
11 3 Other than Full-Time Permanent	0	20	20	0	0.0%
11 5 Other Personnel Compensation	0	50	50	0	1.1%
12 1 Civilian Personnel Benefits	345	161	369	208	129.1%
Total Pay	\$ 1,359	\$ 675	\$ 1,826	\$1,150	170.6%
21 0 Travel and Transportation of Persons	5	11	11	0	0.0%
22 0 Transportation of Things		1	1	0	0.0%
23 3 Communication, Utilities, & Misc Charges	20	0	0	0	0.0%
24 0 Printing and Reproduction	7	4	4	0	0.0%
25 1 Advisory and Assistance Services	1,249	1659	2,290	631	38.0%
25 2 Other Services	470	618	728	110	17.8%
25 3 Other Purch of gds & services from gov acc	0	178	283	105	58.9%
25 4 Operation and Maintenance of Facilities	0	2	2	0	0.0%
25 7 Operation and Maintenance of Equipment	9	10	10	0	0.0%
25 8 Subsistence and Support of Persons		1	1	(0)	0.0%
26 0 Supplies and Materials	2	21	21	0	0.0%
31 0 Equipment	112	719	724	5	0.7%
44 0 Refunds	4	0	0	0	0.0%
Total Non-Pay	\$1,878	\$3,225	\$4,074	\$850	26.4%
Total, Obligational Authority	\$3,237	\$3,900	\$5,900	\$2,000	51.4%

Reimbursable Funds
Analysis of Change
(Dollars in Thousands)

	Fiscal 2021 Agency Request	
	FTE	Amount
Obligational Authority, Fiscal 2019	8	\$3,900
Program/Project/Activity Increases/Decreases	1	2,000
Net Increases/Decreases	1	2,000
Total Obligational Authority, Fiscal 2020	9	\$5,900

Overview

Under authority of the Economy Act (31 U.S.C. 1535-1536), or other more specific authority providing for transfers of funds between agencies, the Library provides reimbursable services to other federal government agencies when the Library can provide the service in a more economical and cost-effective manner or to leverage the specific expertise or knowledge of Library staff. In each instance, the Library and the customer enter into an interagency agreement which sets forth the scope and cost of the service. Funds are transferred from the customer agency and credited to the Library's accounts to pay for all of the direct and indirect costs. Any funds transferred to the Library in excess of the actual costs are returned to the customer-agency at the end of the performance period.

Obligational Authority

In fiscal 2021, the Library is requesting obligational authority of **\$5.9 million** for its reimbursable program. The requested increase in authority is for the Library's interagency agreements.

The Library's interagency reimbursable customers include:

- The **Congressional Budget Office** and the **Office of Compliance** – The Library provides financial management support, data warehousing, and centralized computer processing services from the Library's support organizations.
- The **OpenWorldLeadership Center Trust Fund** – The Library provides financial management support, data warehousing, legal assistance, event planning, administrative support, and centralized computer processing services from the Library's support organizations.

- The **U.S. Bureau of Engraving and Printing** – The Library coordinates the distribution of currency readers to the visually impaired.
- The **U.S. Capitol Police**, the **Architect of the Capitol**, **MEDPAC**, and **General Accountability Office** – The Library provides financial and asset management support, data warehousing, and centralized computer processing services from the Library's support organizations.
- The **National Endowment for the Humanities**, **Institute of Museum and Library Services**; and the **National Endowment for the Arts** – The Library provides support and promotes the participation of these and other government agencies in the annual National Book Festival event spearheaded by the Library of Congress.

REVOLVING FUNDS

Revolving Funds Summary by Object Class (Dollars in Thousands)

Object Class	Fiscal 2019 Actual Obligations	Fiscal 2020 Base	Fiscal 2021 Request	Fiscal 2020/2021 Net Change	Percent Change
11 1 Full-Time Permanent	\$ 4,938	\$ 9,655	\$ 9,887	\$ 232	2 4%
11 3 Other than Full-Time Permanent	539	1,121	1,186	65	5 8%
11 5 Other Personnel Compensation	386	688	729	40	5 9%
12 1 Civilian Personnel Benefits	1,720	3,300	3,387	88	2 7%
Total Pay	\$ 7,583	\$ 14,764	\$ 15,189	\$ 425	2.9%
21 0 Travel and Transportation of Persons	107	467	535	68	14 5%
22 0 Transportation of Things	511	814	859	45	5 5%
23 3 Communication, Utilities, & Misc Charges	245	699	760	60	8 6%
24 0 Printing and Reproduction	167	542	531	12	- 2 2%
25 1 Advisory and Assistance Services	189	1,812	1,284	528	- 29 1%
25 2 Other Services	39,370	167,981	185,622	17,640	10 5%
25 3 Other Purch of gds & services from gov acc	597	3,388	3,638	250	7 4%
25 5 Research and Development of Contracts	0	15	15	0	0 0%
25 7 Operation and Maintenance of Equipment	349	316	310	6	- 1.9%
25 8 Subsistence and Support of Persons	0	0	0	0	0 0%
26 0 Supplies and Materials	1,100	1,680	1,906	226	13 5%
31 0 Equipment	21,825	35,387	35,794	407	1 2%
41 0 Grants, Subsidies, and Contributions	0	0	0	0	0 0%
44 0 Refunds	263	208	209	1	0 4%
94 0 Financial Transfers	0	0	0	0	0 0%
Total Non-Pay	\$64,373	\$213,311	\$231,463	\$18,152	8.5%
Total, Obligational Authority	\$71,956	\$228,075	\$246,652	\$18,577	8.1%

**Revolving Funds
Analysis of Change**
(Dollars in Thousands)

	Fiscal 2021	
	Agency Request	
	FTE	Amount
Obligational Authority, Fiscal 2020 Base	132	\$228,075
Mandatory Pay and Related Costs	0	425
Program/Project/Activity Increases/Decreases	0	18,152
Net Increase/Decrease	0	\$ 18,577
Total Obligational Authority, Fiscal 2021	132	\$246,652

Overview

The Library of Congress administers several revolving fund activities under the authority of 2 U.S.C. §§ 182a – 182c, 20 U.S.C. § 2106(a)(2) and 2 U.S.C. § 160. These activities support the acquisition of library materials, preservation and duplication of the Library’s audio-visual collections, special events and programs, classification editorial work, research and analysis, and retail sales. All of these activities further the

work of the Library and its services to its customers and the general public.

In fiscal 2021, total obligational authority of **\$246.652 million** is requested for the Library’s revolving fund programs, a net increase of \$18.577 million over fiscal 2020. This reflects a net increase of \$425,000 in pay and a net increase of \$18,152 million in non-pay

Obligational Authority

Obligational authority is requested as follows:

2 U.S.C. 182

- The Cooperative Acquisitions Program secures hard-to-acquire research materials on behalf of participating U.S. research libraries. These materials are obtained by the Library’s six overseas offices, which purchase additional copies of items selected for the Library’s own collections based on the individual subject and language profiles supplied by the participating institutions. Each program participant pays for the cost of the publications, shipping, binding, and a surcharge that recovers the Library’s administrative costs of providing this service. Materials are acquired from 76 countries on behalf of more than 100 research institutions. In fiscal 2021, the Library is requesting obligational authority of **\$9.726 million** for the Cooperative Acquisitions Program.

2 U.S.C. 182a

- The Duplication Services Revolving Fund provides preservation, duplication, and delivery services for the Library’s audio-visual collections, including motion pictures, videotapes, sound recordings, and radio and television broadcasts. The fund is associated with the expanded service capabilities

of the Packard Campus of the Library’s National Audio-Visual Conservation Center in Culpeper, VA, and provides a range of audio-visual preservation and access services to other archives, libraries, and industry constituents in the public and private and sectors. In fiscal 2021, the Library is requesting obligational authority of **\$342,000** for the activities of the Duplication Services Revolving Fund.

2 U.S.C. 182b

- Gift Shop Operations supports retail sales activities of the Library. In fiscal 2021, the Library is requesting obligational authority of **\$4.340 million** for retail sales.
- Document Reproduction and Microfilm Services provides preservation microfilming services for the Library’s collections. It also provides photocopy, microfilm, photographic, and digital services to other libraries, research institutions, government agencies, and individuals in the United States and internationally. In fiscal 2021, the Library is requesting obligational authority of **\$2.2 million** for these activities.
- The Special Events Revolving Funds (OSEPP) support staff salaries and benefits and other costs associated with the coordination of Congressional,

outside organization, and Library-sponsored events, such as the annual National Book Festival Gala, meetings of the James Madison Council, the American Society of Composers, Authors and Publishers (ASCAP) event, the Kluge Center Scholarly Programs, Exhibition Opening events, the Congressional Dialogues Series on Great Americans, and the award ceremony for the Gershwin Prize in Popular Music. In fiscal 2021, the Library is requesting obligational authority of **\$7.256 million** for Library of Congress special events and public programs.

- The Verner W. Clapp Revolving Fund supports the creation of publication of books and similar products that showcase the Library's collections, scholarships, and services. In fiscal 2021, the Library is requesting obligational authority of **\$166,000**

2 U.S.C. 182c

- The Federal Library and Information Network (FEDLINK) supports more than 1,200 federal offices, providing cost-effective training and a centralized procurement process for the acquisition of books, library support services, serials, and computer-based information retrieval services. The consolidated purchasing power permits the Library to negotiate economical contracts with more than 130 vendors. In fiscal 2021, the Library is requesting obligational authority of **\$216.042 million** for the FEDLINK program.
- The Federal Research Program (FRP) provides customized research reports, translations, and analytical studies for entities of the Federal Government and the District of Columbia on a cost-recovery basis. Program staff draws upon research

expertise and analytic experience to support analysts, program managers, and policy makers across a range of domestic and international concerns, thereby directly furthering the Library's mission of making the vast collections and resources available and useful to the federal government and the American people. In fiscal 2021, the Library is requesting obligational authority of **\$6.334 million** for FRP.

20 U.S.C. 2106

- The Elizabeth Hamer Kegan Fund promotes the activities of the American Folklife Center through publication and/or distribution of folklife-related publications, recordings, crafts and art objects. In fiscal 2021, the Library is requesting obligational authority of **\$28,000** for the Center's activities

2 U.S.C. 160

- The Traveling Exhibition Fund supports the loan and display of select, major exhibitions, prepared by the Library, to municipal and private museums and cultural institutions throughout the world. In fiscal 2021, the Library is requesting obligational authority of **\$119,000** for these touring exhibition activities.
- The Cafritz Foundation Scholarly Activities Fund covers expenses related to the publication of the Library's exhibit catalogs, posters, and related materials. In fiscal 2021, the Library is requesting obligational authority of **\$6,000** for publication activities.
- The DaCapo Fund supports publications, concerts, lectures, and other special projects, using the Music Division's collections. In fiscal 2021, the Library is requesting obligational authority of **\$93,000** for Music Division activities.

LIBRARY OF CONGRESS FISCAL 2021 APPROPRIATIONS LANGUAGE

LIBRARY OF CONGRESS

SALARIES AND EXPENSES

For all necessary expenses of the Library of Congress not otherwise provided for, including development and maintenance of the Library's catalogs; custody and custodial care of the Library buildings; special clothing; cleaning, laundering and repair of uniforms; preservation of motion pictures in the custody of the Library; operation and maintenance of the American Folklife Center in the Library; preparation and distribution of catalog records and other publications of the Library; hire or purchase of one passenger motor vehicle; and expenses of the Library of Congress Trust Fund Board not properly chargeable to the income of any trust fund held by the Board, **\$544,582,000**, of which not more than **\$6,000,000** shall be derived from collections credited to this appropriation during fiscal year 2021, and shall remain available until expended, under the Act of June 28, 1902 (chapter 1301; 32 Stat. 480; 2 U.S.C. 150): *Provided*, That the Library of Congress may not obligate or expend any funds derived from collections under the Act of June 28, 1902, in excess of the amount authorized for obligation or expenditure in appropriations Acts: *Provided further*, That the total amount available for obligation shall be reduced by the amount by which collections are less than **\$6,000,000**: *Provided further*, That of the total amount appropriated, not more than \$18,000 may be expended, on the certification of the Librarian of Congress, in connection with official representation and reception expenses for the Overseas Field Offices: *Provided further*, That of the total amount appropriated, **\$9,424,000** shall remain available until expended for the digital collections and educational curricula program: *Provided further*, That of the total amount appropriated, **\$1,384,000** shall remain available until expended for upgrade of the Legislative Branch Financial Management System: *Provided further*, That of the total amount appropriated, **\$250,000** shall remain available until expended for the Surplus Books Program to promote the program and facilitate a greater number of donations to eligible entities across the United States: *Provided further*, That of the total amount appropriated, **\$3,720,000** shall remain available until expended for the Veterans History Project to continue digitization efforts of already collected materials, and a greater number of veterans to record their stories, and promote public access to the Project: *Provided further*, That of the total amount appropriated, **\$10,000,000** shall remain available until expended for the development of the Library's Visitor Experience project, and may be obligated and expended only upon approval by the Subcommittee on the Legislative Branch of the Committee on Appropriations of the House of Representatives and by the Subcommittee on the Legislative Branch of the Committee on Appropriations of the Senate: *Provided further*, That of the total amount appropriated, **\$4,370,000** shall remain available until September 30, 2024 to complete the second of three phases of the shelving replacement in Law Library's collection storage areas.

COPYRIGHT OFFICE

SALARIES AND EXPENSES

For all necessary expenses of the Copyright Office, **\$94,891,000**, of which not more than **\$38,004,000**, to remain available until expended, shall be derived from collections credited to this appropriation during fiscal year 2021 under section 708(d) and 1316 of title 17, United States Code: *Provided*, That the Copyright Office may not obligate or expend any funds derived from collections under such section, in excess of the amount authorized for obligation or expenditure in appropriations Acts: *Provided further*, That not more than **\$6,778,000** shall be derived from collections during fiscal year 2021 under sections 111(d)(2), 119(b)(3), 803(e), 1005 of such title: *Provided further*, That the total amount available for obligation shall be reduced by the amount by which collections are less than **\$44,782,000**: *Provided further*, That of the funds provided under this heading, not less than \$17,100,000 is for modernization initiatives, of which \$10,000,000 shall remain available until September 30, 2022: *Provided further*, That not more than \$100,000 of the amount appropriated is available for the maintenance of an "International Copyright Institute" in the Copyright Office of the Library of Congress for the purpose of training nationals of developing countries in intellectual property laws and policies: *Provided further*, That not more than \$6,500 may be expended, on the certification of the Librarian of Congress, in connection with official representation and reception expenses for activities of the International Copyright Institute and for copyright delegations, visitors, and seminars: *Provided further*, That, notwithstanding any provision of chapter 8 of title 17, United States Code, any amounts made available under this heading which are attributable to royalty fees and payments received by the Copyright Office pursuant to sections 111, 119, and chapter 10 of such title may be used for the costs incurred in the administration of the Copyright Royalty Judges program, with the exception of the costs of salaries and benefits for the Copyright Royalty Judges and staff under section 802(e).

CONGRESSIONAL RESEARCH SERVICE

SALARIES AND EXPENSES

For all necessary expenses to carry out the provisions of section 203 of the Legislative Reorganization Act of 1946 (2 U.S.C. 166) and to revise and extend the Annotated Constitution of the United States of America, **\$129,516,000**: *Provided*, That no part of such amount may be used to pay any salary or expense in connection with any publication, or preparation of material therefor (except the Digest of Public General Bills), to be issued by the Library of Congress unless such publication has obtained prior approval of either the Committee on House Administration of the House of Representatives or the Committee on Rules and Administration of the Senate: *Provided further*, That this prohibition does not apply to publication of non-confidential Congressional Research Service (CRS) products: *Provided further*, That a non-confidential CRS product includes any written product containing research or analysis that is currently available for general congressional access on the CRS Congressional Intranet, or that would be made available on the CRS Congressional Intranet in the normal course of business and does not include material prepared in response to Congressional requests for confidential analysis or research.

NATIONAL LIBRARY SERVICE FOR THE BLIND AND PRINT DISABLED

SALARIES AND EXPENSES

For all necessary expenses to carry out the Act of March 3, 1931 (chapter 400; 46 Stat. 1487; 2 U.S.C. 135a), **\$60,639,000**: *Provided*, That of the total amount appropriated, \$650,000 shall be available to contract to provide newspapers to blind and physically handicapped residents at no cost to the individual.

REIMBURSABLE AND REVOLVING FUND ACTIVITIES

SEC. 1201. (a) IN GENERAL.—For fiscal year 2021, the obligational authority of the Library of Congress for the activities described in subsection (b) may not exceed **\$252,552,000**.

(b) ACTIVITIES.—The activities referred to in subsection (a) are reimbursable and revolving fund activities that are funded from sources other than appropriations to the Library in appropriations Acts for the legislative branch.

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APPENDIX A:

Information Technology Modernization Update

The Library of Congress has made significant strides in the modernization of its information technology (IT) capabilities over the last few years. The Library has been approaching modernization from multiple angles: restructuring the organization; centralizing management and operations, modernizing processes, and moving forward with IT infrastructure, networking, and new IT application development projects.

Centralization

The Librarian of Congress addressed the need to maximize value from the Library's investment in technology by directing that all technology activities be centrally coordinated through the Office of the Chief Information Officer (OCIO) and approved by the Chief Information Officer. The move to enterprise-wide coordination of IT operations followed a realignment of OCIO as a separate Program, Project, or Activity (PPA) reporting directly to the Librarian.

During fiscal 2018, all IT personnel from the Library's service units were reorganized into OCIO, completing a key element of centralization. OCIO implemented Reorganization Phase 1.5 in December 2017, merging service unit IT personnel into the newly created OCIO Customer Engagement Directorate, while continuing to evaluate how to best structure OCIO to maximize efficiencies and reduce risks for the Library. Centralization culminated at the end of the fiscal year with the OCIO Reorganization Phase 2.0, which realigned Library IT staff according to their skill-sets and functional responsibilities; streamlined governance and delivery of Library IT services; and strengthened OCIO's ability to collaborate effectively.

IT Governance

With IT centralization enacted in October 2018, OCIO moved in fiscal 2019 to align the Library's IT governance with the new organizational structure and shift IT planning to provide a multi-year strategic roadmap. The new IT governance framework requires direct participation by Library executives and subject matter experts to align IT activities with the Library's mission and goals. OCIO also continued to enhance the Library's Technology Business Management framework to provide transparency for IT resource use.

Digital Strategy

To help drive digital transformation, the OCIO Digital Strategy Directorate focused fiscal 2019 efforts on

communicating the Library's Digital Strategy, which was published in October 2018, and modeling innovative uses of technology through LC Labs activities and collaborations. In partnership with Library Services, the team launched *By the People*, a crowdsourcing program that invites the public to transcribe and tag images of handwritten text in the Library's collections. By the end of the year, *By the People* had inspired more than 12,000 digital volunteers who transcribed over 50,000 pages of manuscripts, letters and other historical material. Those transcripts are now making Library collections more accessible and searchable for everyone.

To ensure IT initiatives are aligned with the Library's Strategic Plan, OCIO implemented its Fiscal 2019-2023 Directional Plan in May 2019. The plan channels the Library's IT talent and resources into action that empowers successful operations across the Library, with service to Library staff and current and future generations of Library users in mind. It also ensures that the Library will continue to address key expectations from the Office of the Inspector General (OIG), the Government Accountability Office (GAO), and Congressional oversight committees.

Optimization

Throughout fiscal 2019, OCIO continued to optimize Library IT systems and operations. Build-out was completed for the Library's Data Center Transformation Project, and initial transfer of IT systems and applications to the Library's new state-of-the-art data center and enterprise cloud environment began. When fully implemented in December 2020, the new hybrid hosting environments will allow all production IT systems and applications to be removed from the obsolete James Madison Building Data Center, and provide Library IT a scalable foundation for the future (see the Hosting Facilities Challenge Appendix).

IT Security

IT Security also saw significant improvement in fiscal 2019. OCIO implemented multifactor authentication for all Library users, and successfully completed the review and security testing of 100 percent of Library IT systems, bringing the Library fully in-line with the National Institute of Standards and Technology. OCIO also began the effort to transition the Library to Zero Trust architecture, with an initial focus on the Congressional Research Service (CRS) data security, and started a comprehensive firewall modernization effort.

GAO and IG Recommendations

Those efforts and the focus on IT management allowed OCIO to successfully close 58 IT recommendations from GAO and OIG in fiscal 2019. OCIO has implemented and closed 263 out of 340 GAO and OIG recommendations since 2015, and is working diligently to address the rest.

Modernization Development Initiatives

With Library IT largely stabilized, OCIO expanded its focus on modernization efforts in fiscal 2019 – with initial development begun on systems for CRS, the U.S. Copyright Office, and the National Library Services for the Blind and Print Disabled (NLS).

To better serve Congress, OCIO began implementing the Integrated Research and Information System (IRIS) for CRS. IRIS will modernize CRS' mission-specific software applications to reduce the time needed to research, analyze, create, and deliver CRS products and services in the formats most useful to the Congress, while protecting the security and confidentiality of congressional data. IRIS is leveraging the latest advances in web-based technologies to provide an agile and flexible infrastructure that will enable efficient plug-and-play technologies for rapid deployment and use by CRS and the Congress.

The Copyright Office partnered with OCIO to continue development of its 'Enterprise Copyright System' (ECS). Ongoing congressional support has properly positioned the Library to deliver an initial pilot of the Copyright Recordation ECS component in the spring of 2020 and limited prototypes of the Copyright Registration and the Public Records user interface components by the end of 2020. ECS development is expected to last through fiscal 2023, when completed

operational systems will shift to operations and maintenance status.

As part of modernization for NLS, OCIO is working to establish a scalable, cost-effective enterprise cloud storage platform to better support patrons access needs for the Braille & Audio Reading Download (BARD) system. NLS has two programmatic increase requests for IT modernization of their programs – eReader talking book and BARD. If approved, OCIO will play a key role in the development of the next generation platform for service delivery, wireless content delivery, voice command and cloud storage. These developments will enable faster, more efficient delivery, resilience and scalability of NLS services.

Additionally, OCIO has initiated planning for the next-generation Integrated-Library-System to modernize the Library's ability to organize, manage, and share the world's largest collection of knowledge with Congress and the public. OCIO developed and is iteratively enhancing STACKS to manage secure access to rights-restricted collections content inside the Library, and, leveraging agile development techniques and user experience design, is providing continuous delivery of new functionality and content for Congress.gov and the Library's homepage, loc.gov.

Fiscal 2020 will see the modernization efforts for the Digital Library, U.S. Copyright Office, CRS and NLS continue. OCIO will also maintain the regular 'Run the Business' activities that support day-to-day operations of the Library. OCIO will also launch a network upgrade effort to improve access and connectivity among Library buildings and beyond its campus via Internet and Internet II, and a multi-year effort to access and modernize the Library's data storage environment to support the LOC digital strategy.

APPENDIX B:

Hosting Facilities Challenge - Data Center Migration Plan Update

The Office of the Chief Information Officer (OCIO) successfully awarded a multi-year data center transformation support contract for application rationalization and migration planning in fiscal 2017. This contract supports the implementation of key projects to transition data center operations from the aging James Madison Memorial Building Primary Computing Facility (JMMB PCF) to a hybrid hosting model that includes four data centers and the cloud environment, directly supporting all service units. Specific deliverables of the contract include the procurement and installation of data center core equipment and the application rationalization required to develop the migration roadmap.

Fiscal 2018 – Analyze All IT Systems and Applications to Provide Recommended Target Hosting Environment

The planning for application rationalization provided a comprehensive plan for migration to hosting environments that support cost-effective, secure and agile Information Technology (IT) management. The plan analyzed IT systems and applications to determine the appropriate hosting destinations, migration readiness and needed updates. The migration will transition the Library's data center operations to a flexible and scalable hybrid hosting model that includes the Library managed data center facilities, cloud services and shared services. The following are the components of the hybrid hosting model:

- Data Center 1 (DC1) - JMMB PCF (Note: When Data Transformation is complete, this will remain as a limited data center, providing networking services for LOC Capitol Hill campus.)
- Data Center 2 (DC2) - Alternate Computing Facility (AFC)
- Data Center 3 (DC3) – Culpepper Computing Facility
- Data Center 4 (DC4) – Redstone-Turner Facility
- Cloud Services

Fiscal 2018 – 2019 – Plan and Build the Library's Hybrid Hosting Environment

The Library established a hybrid hosting environment that includes Cloud hosting and “on-premise” (“on-prem”) data centers (DC2 and the new data center, DC4). The components of the initial build out are:

- A high speed data center core network at the new “on-prem” data center site consisting of core,

storage area network, and ancillary switches; domain name service appliances; firewalls; IT security appliances; and other infrastructure equipment.

- Mandatory network IT security appliances and processes
- Server and storage components to handle monitoring, diagnostic and IT security requirements of the environment.
- A design for long haul transmission lines between the data centers: JMMB PCF (DC1); AFC (DC2); the Culpeper Computing Facility (DC3); and Redstone-Turner DC4, DC1. Also an analysis for increased bandwidth between DC1, DC2, and DC3.
- Centralized enterprise Cloud hosting environment.

Fiscal 2018 - 2020 –Migrate Library Production IT Systems to Target Hosting Environments

The Library began occupation in fiscal 2018 and will expand its capabilities at DC4, implement new and enhanced network communications between the Library's data center facilities, and migrate production IT systems out of DC1.

This includes:

- Finalizing the lease for DC4 and transferring pre-configured data center core equipment.
- Installing of rack equipment at the Redstone-Turner facility, DC4 (based on the rationalization of systems, applications, workflows and data).
- This includes:
 - Installing and implementing long haul transmission lines between DC1, DC2, DC3 and DC4 in fiscal 2019 and fiscal 2020.
 - Increasing bandwidth between DC1, DC2, and DC3 in fiscal 2019 and fiscal 2020.
 - Installing additional hardware and services to facilitate migrating systems and digital content while minimizing operational disruption.
- Acquiring contract support and cloud services, as well as equipment and software for DC4 while continuing all production operations at DC1.
- Performing migrations in monthly waves of tested and approved IT systems, applications, and data services to the Library's managed data centers, cloud

and shared services.

- Transiting DC1 operations once all production IT systems, application and data services are migrated to the new target hosting environments and all operational requirements are met.

Fiscal 2020 – Operations and Maintenance (O&M) of DC4 and other Target Hosting Environments

After the migration, the Library will operate from Library-managed data center facilities, cloud services and shared services. The Library expects the following:

- Operates and maintain Library data center facilities (DC1, DC2, DC3, and DC4) and other target hosting environments (cloud and shared services), while supporting normal technical refresh cycle for infrastructure and application components.
- Assess Multiple Hosting Environments All of the hosting environments, including the data center

facilities and the cloud services, will be assessed to determine the correct mix of hosting environments. These facility occupancy costs will include monthly rack leases and other associated occupancy fees charged by the external facility operator (based on the current contract for the shared legislative data center). At DC1, these costs have historically been absorbed by the Architect of the Capitol budget and have never been included in the Library's IT budget. Other related facility operating costs will include long-haul transmission lines to meet operational bandwidth requirements and hardware/software support costs associated with telecommunications equipment

- As technology evolves, the most efficient mix of hosting environments could change. Future operational costs and rack requirements may deviate as changes in technology and mission needs affect storage capacities, server, and telecommunication configurations.

APPENDIX C: American Folklife Center and Veterans History Project

American Folklife Center

The American Folklife Center (AFC) explored multiple ways to engage audiences and users, both on-site and off-site. Examples include supporting a campaign at crowd.loc.gov focused on volunteers transcribing more than 5,000 pages of Alan Lomax manuscript materials; successfully completing the first season for our Folklife Today podcast; answering 6,382 reference queries, and hosting four “Summer Jams” that brought about 175 participants into contact with collections material through live performance as well as orientations to researcher resources.

The Center acquired 65 new collections in fiscal 2019, totaling approximately 200,000 items documenting expressive culture across the U.S. and around the world. The most notable collection received was the AIDS Memorial Quilt archive collection, which includes biographical records of the people memorialized on The Quilt panels, correspondence, photographs, tributes, epitaphs, news clippings and artifacts submitted by panel makers that add context about the lives memorialized in The Quilt. The archive also documents the creation, marketing and exhibition of The Quilt over the past 32 years. The Quilt is a powerful visual reminder of the AIDS pandemic and continues as the largest ongoing community folk art project in the world. Additionally, AFC doubled its archives unit staffing as part of the Library-wide initiative focused on arrears reduction. Increased staff capacity has resulted in the clearing of over 100,000 items from collections-processing arrears; made more than 53,000 digital files accessible online; published 12 finding aids and 26 topical guides; and digitized 35,394 collection items.

AFC staff produced 13 concerts, seven lectures, and a day-long symposium; awarded eleven fellowships and hosted two paid internships in fiscal 2019; produced over 85 blog posts and nearly 700 social media posts; and engaged fully in a range of reference and outreach activities.

Veterans History Project

Anticipating the 20th anniversary year of the Veterans History Project (VHP), VHP focused on increasing discoverability of collections and seeking further narratives. Particularly remarkable was VHP’s first Story Map, “D-Day Journeys: Personal geographies of D-Day veterans, 75 years later.” Working in close collaboration with Geography & Map, and pairing items from Prints & Photographs, VHP leveraged the map-based discovery platform to create an interactive, online experience that linked maps, texts, images and videos to trace the veterans’ journeys from their viewpoints. VHP’s Story Map was featured by CBS News, chosen by Esri (publisher of the application) as “Story Map of the Month” for June 2019, and promoted by their social media.

Since the 2016 enactment of the Gold Star Family Voices Act, VHP has added 79 interviews of Gold Star family members to the archive. Nearly half were received since March 2019 as a result of the largest to-date donation from Gold Star Dirt, an organization focused on Gold Star families. In September 2019, VHP hosted a Gold Star Families Day Display showcasing VHP items with related collections from Prints & Photographs, Music, and Manuscript Divisions. Attendees from Alaska and Arizona, to Tennessee and Maryland remarked that seeing the collections gave them a powerful connection to the Library and that they hoped to attend next year with other Gold Star families.

The steady drumbeat behind these successes is the constant engagement across the country and with Congress. VHP hosted 132 inspiring and instructive events, 12 of which were in collaboration with other Library divisions, and had cooperative efforts with 134 Member Offices. Websites had 4.5 million page views. VHP received 3,773 new acquisitions with 3,423 accessioned, and managed two large-scale digitization efforts via external vendors. VHP staff also directly facilitated 243 interviews this year, on-site and at events held around the country.

APPENDIX D: Overseas Offices, Cooperative Acquisitions Program

Overseas Offices, Cooperative Acquisitions Program

The Library of Congress operates six overseas field offices in Brazil (Rio de Janeiro), Egypt (Cairo), India (New Delhi), Indonesia (Jakarta), Kenya (Nairobi), and Pakistan (Islamabad). These regional offices acquire, catalog, and preserve publications from regions around the world where conventional acquisitions methods are inadequate. They perform these functions directly for the Library of Congress and for over 100 research and academic libraries in the United States and other countries through the Library's Cooperative Acquisitions Program (CAP). The Library's overseas offices cover over 75 African, Asian, Middle Eastern, and South American countries.

The overseas offices have established direct communications over the years with select congressional staff and units that support congressional needs for immediate information from the areas of the world where the offices are located. These submissions of information include daily news summaries from local media and non-government organizations, translations of contemporary reports, and data related to countries and areas of interest to Congress. Beyond providing information directly to congressional offices and operations that support them, the offices supply contemporaneous information to the Congressional Research Service, Law Library, and Federal Research Division. Feedback from these Capitol Hill partners has enabled the field offices to develop tighter selection parameters for the materials acquired for the Library that better meet the needs of Congress.

The overseas offices were declared independent for whole book cataloging at the end of fiscal 2017. This independence is saving time and effort allowing completed cataloging production to move directly to the stacks on Capitol Hill, without additional review by Washington staff. The change is also saving time and effort of Washington staff and is benefiting CAP participants. Staff in the offices are increasing their skills and taking responsibility for working at a higher level for more efficient productivity.

The offices completed the installation of the Overseas Field Office Replacement System (OFORS). This new system is enabling greater processing efficiencies for materials acquired for the Library and CAP participants.

Fiscal 2019 statistics representing the work of the six offices are as follows:

- Acquired 43,008 books for the Library of Congress;
- Acquired 124,371 books for CAP participants;
- Acquired 138,082 serials and newspaper issues for the Library of Congress;
- Acquired 142,568 serials and newspaper issues for CAP participants;
- Created or upgraded 40,311 bibliographic records for the Library and CAP participants;
- Reformatted 2,007,999 pages of newspapers, periodicals and gazettes; and
- Produced 2,039 master negatives, 2,013 positives, and 1,926 printing negatives

While managed centrally by the Library Services Acquisitions and Bibliographic Access Directorate, each of the overseas offices has a unique, regionally-based focus and specific areas of specialization and accomplishment, as described below.

Cairo, Egypt, Field Office

The Library of Congress Office in Cairo, Egypt, was established in 1962 and functions as a regional center for processing materials acquired from countries in the regions of the Middle East and North Africa. Countries covered are Algeria, Bahrain, Egypt, Gaza, Iraq, Jordan, Kuwait, Lebanon, Libya, Mauritania, Morocco, Oman, Qatar, Saudi Arabia, Sudan, Syria, Tunisia, Turkey, United Arab Emirates, West Bank, and Yemen. Political unrest, censorship, war, poverty, and a general lack of standards in publishing regularly challenge the Office as staff carry out its mission. The Office has a staff of 34 including an American Director. In addition to collecting for the Library, the Cairo Office collects materials for the 45 research libraries participating in the Office's Middle East Cooperative Acquisitions Program (MECAP).

The Office acquires recently published books on all subjects as well as materials in other formats, such as maps, DVDs, and CDs. In addition to Arabic, other languages that the Office covers include Turkish, Kurdish, and Armenian. Materials are selected for the quality of scholarship, importance of subject, and extent to which the titles add to the knowledge of a subject or an event. The Office collects government documents, non-commercial publications, newspapers, magazines, and academic journals. These

materials provide the Congress, researchers, and faculty of the MECAP research libraries with vital primary and secondary research material to enable them better to understand the history, politics, and culture of these countries.

In addition to site visits and acquisitions travel, the Office uses an extensive network of vendors and representatives to acquire materials from the countries it covers. The Office processes and catalogs materials acquired before sending them to Washington, DC, and to the 45 MECAP participants.

During fiscal 2019, the U.S. Embassy's facilities section continued the renovation project that began in the fourth quarter of 2018, as staff worked amidst the noise, dust and disruption that comes along with such projects. However, when the dust cleared and the new furniture was installed in February 2019, the end result was the professional-looking office that Cairo not only needed, but deserved. Elsewhere, IT staff did their part to improve the network infrastructure and corresponding security to be in accordance with OClO directives. For acquisitions, the Cairo Office acquired 13,879 monograph pieces and 33,156 serials pieces for Library divisions, including the Law Library. This was exactly in-line with the final statistics for acquisitions in fiscal 2018, which was 13,273 monographs and 32,632 serials pieces for the for the Library's divisions. Significant acquisitions came from Kuwait—with no less than three substantial shipments, Libya, Yemen and southern Iraq, the latter three being critical countries where publications were wanting in the previous fiscal year. The Office made a considerable effort to acquire more law materials as needed by the Law Library, and focus in this area brought significant new reference titles. In terms of cataloging production, and despite a shortage of staff in the Monograph Section, the entire Office production for fiscal 2019 reached 7,922 items cataloged, a decrease against the 10,189 items cataloged in fiscal 2018 due to continued decrease in staffing and delays in announcing vacant positions. Despite this, the Office stuck to its goal of sending more shelf-ready items to Washington, producing 5,218 shelf-ready items compared to 4,977 in the fiscal 2018. New name authorities reached 1,399 in fiscal 2019 (compared to 1,368 in fiscal 2018) while modified authorities rose to 212, an uptake over the 34 from the previous fiscal year. As fiscal 2019 wound down, a new team of Human Resource officers started in Cairo, and the first wave of vacant position announcements began to appear, giving hope that fiscal 2020 will bring new staff to the Office to help increase its production at all levels.

Islamabad, Pakistan, Field Office

The Library of Congress Office in Pakistan was established in 1962 in Karachi, Pakistan, and in 1995 the Office moved operations to Pakistan's capital, Islamabad. The Office serves as a regional center for processing materials acquired from Pakistan, Afghanistan, and Iran. Political unrest, the high-threat security situation, censorship, war, poverty, and a general lack of standards in publishing regularly challenge

the Office as staff carry out the mission to collect and preserve resources. The Office has a staff of 23, including its American Director (residing in New Delhi). The Office acquires materials for 41 other U.S. and international libraries through the Cooperative Acquisitions Program (CAP).

The Office acquires newly published books and journals in all subjects and formats, including posters, maps, DVDs, CDs, and electronic resources. Librarians direct the acquisitions effort, using acquisitions trips when possible as well as an extensive network of vendors to acquire materials. In addition to English, the Office acquires materials in Urdu, Punjabi, Pushto, Sindhi, Persian, Balochi, Seraiki, Brahui, Hindko, Khovar, Gojri, Burushaski, Arabic, Tajik, Shina, Pothohari, Torwali and Gawon Commercial publications are supplied by sixteen dealers and three bibliographic representatives. In fiscal 2019, for the first time since 2016 when an acquisitions travel moratorium went into effect for security reasons, the Islamabad Office was able to secure RSO permission to reinstate acquisitions trips within Pakistan. Between January and July 2019, the Acquisitions Section conducted eight outstation acquisitions trips in Pakistan. This required a large team of staff to coordinate all travel arrangements and comply with extremely complicated, time consuming and constantly changing RSO, Embassy and Consulate requirements.

Two significant microfilm arrears projects were completed in fiscal 2019. LC-Islamabad cataloged, collated, packed and shipped the following two arrearsages to LC-New Delhi for microfilming

- Soviet and Taliban Era Serial and Newspapers (94 titles comprised of 16,757 pages)
- Pre-2013 Newspaper Arrears from Pakistan, Afghanistan and Iran (86,649 pages)

The Office selects materials based on the quality of scholarship, importance of subject, and extent to which the titles add to the knowledge of a subject or an event. The Office collects government documents, non-commercial publications, newspapers, magazines, and academic journals. These materials provide the Congress, researchers, and faculties of CAP research institutions with vital primary and secondary research material to enable them to understand better the history, politics, and culture of these countries. Over the past few years, the Office has collected an in-depth array of religious materials of interest to scholars and analysts seeking a better understanding of the religious-political-regional landscape. All materials are cataloged directly into the Library's online catalog system making the records available to the public in a very timely manner.

In fiscal 2019, the Office provided 53,141 documents to the Library and CAP participants from Iran, Pakistan, and Afghanistan. The Office preserved 73 web sites harvested to cover the presidential election in Afghanistan, the China Pakistan Economic Corridor and the Kashmir Legal Status (2019) web archiving projects. Staff cataloged 2,995 new

items. The Islamabad Office's quarterly acquisitions lists featured print and non-print titles that represent unique or interesting titles of use to policy makers and scholars.

The Office continued to collect born-digital working papers and other monographic works for the Library's research collection and added another 61 items to the project. The Office continued to contribute to the *Bibliography of Asian Studies*, enabling indexing of 72 scanned issues from Pakistani serials.

After the successful application of Secure Socket Layer (SSL) certificates to secure the OFORS web modules (Drupal, Chamo and Infostation), the next challenge was to secure OFORS for all overseas offices against all identified system (both operating system and application system) vulnerabilities detailed in the OCIO Security Team POA&Ms process. This was a requirement in order to obtain the required "Authorization to Operate" for the next annual cycle. Islamabad's Computer Management Specialist (CMS) was assigned the role of Technical POC for the Overseas Field Office Replacement System for all overseas offices. He assumed responsibility for this ongoing project and succeeded in resolving the identified operating system and application vulnerabilities. The result is that the ATO for OFORS was issued for the next annual cycle. Apart from this, following were the prominent updates to OFORS and IT operations of LC Islamabad office:

- Binding and Shipping modules were made available in the later part of year 2019 which is under evaluation by the concerned section of LC Islamabad.
- Reporting module prepared by New Delhi IT team was deployed and is under evaluation against the existing Microsoft Excel based reporting. Islamabad office will be sharing the comparison with New Delhi IT team for more improvement in the module.
- OFORS server and client upgrade successfully done for Islamabad office. The server side was upgraded by Innovative Interfaces, Inc (iii) to a newer version (16.2.SP3), while OFORS client was upgraded by the Office CMS to a newer version (16.2.SP3.HF2-190).
- McAfee EPO and ManageEngine Desktop Central were upgraded to newer versions with more secure and robust features for efficiently securing and managing IT infrastructure.
- Windows Desktop Infrastructure was upgraded from Microsoft Windows 7 to Windows 10 for stability and continuation of support from Microsoft.

The CMS successfully negotiated and acquired IT equipment and supplies worth US \$50,000.00 from his previous Agency (USAID) at zero cost to Library of Congress. This equipment will help to meet IT needs of the office for years to come. IT inventory cleanup drive was successfully completed and unusable IT equipment was prepared for deaccessioning and turned over to the State Department for

auction at post. This helped to provide the CMS and Field Director with a clear IT inventory of functioning equipment.

Jakarta, Indonesia, Field Office

The Library of Congress Office in Jakarta, Indonesia, opened in 1963. The Jakarta Office serves as a regional center for the acquisition, cataloging, and reformatting of materials from Southeast Asia: Brunei, Burma (Myanmar), Cambodia, Indonesia, Laos, Malaysia, the Philippines, Singapore, Thailand, Timor Leste, and Vietnam. The Jakarta Office operates offices in Bangkok, Kuala Lumpur, Manila, and Rangoon (Yangon). Expert librarians acquire and catalog books in all of the national and sub-national languages of the region including Burmese, Cambodian, Cebuano, Chinese, English, Indonesian, Javanese, Lao, Malay, Tagalog, Thai, Vietnamese, and other minority languages. The Office has 55 local staff positions with one American Director based in Jakarta. The Office serves 45 U.S. and international libraries through the Southeast Asia Cooperative Acquisitions Program (CAPSEA).

The Office acquires newly published materials in all the national and sub-national languages in all subjects and formats. Expert librarians acquire resources through an extensive network of vendors, local contacts, and acquisitions travel targeted at areas of significant importance. Although the region is a major source for international business, scientific, and technical information, the knowledge and entertainment industries remain decentralized with little bibliographic control making it a challenge to identify primary sources and new research publications.

In order to obtain the best in publishing, cinema, and recordings, the Office maintains a network of eighty-one book vendors and bibliographic representatives who assist with the identification and acquisition of new research, government publications, and trade publications; many of these are small operations making significant contributions to our linguistic and other specialized collections. To supplement these acquisitions and ensure the acquisition of non-commercial materials, librarians travel throughout the region acquiring government, think-tank, and non-governmental organization (NGO) resources, as well as monitor and report on trends in publishing and educational development. The growth of the publishing sector across the region challenges the acquisitions librarians to select only materials that meet the information and scholarly needs of government and academia. A new challenge is the rise of e-publishing especially in the government and academic journal publishing sectors. The Office distributes quarterly highlights to clientele in the Library and to participants.

All materials acquired in Southeast Asia are cataloged prior to shipping to Washington. The Jakarta Office and branch offices increased shelf-ready materials to 4,572 of which 59 percent received whole book cataloging; another two percent were e-resources. In fiscal year 2019, catalogs created 11,380 records, of which only 1,916 (seventeen percent) were

in English. Catalogers continued to prepare for linked data environment by creating 2,949 new name authorities and updating 2,978 name authorities. Catalogers submitted sixty-five classification proposals and thirty subject proposals.

Most government agencies, think tanks, and NGOs publish working and discussion papers on their websites in PDF format. The Office has integrated the collection and cataloging of this gray literature into its regular workflow, adding approximately ninety-two titles.

The Jakarta Preservation Section produced 407 high-quality negative microfilm reels for thirty-three national gazettes and newspaper titles from the region. As part of its ongoing preservation efforts, the Section bound 1,963 volumes.

Nairobi, Kenya, Field Office

The Library of Congress Office in Nairobi, Kenya, established in 1966, acquires and catalogs publications in all subjects except clinical medicine and technical agriculture, from commercial, government, and nontrade sources in 30 sub-Saharan countries: Angola, Botswana, Burundi, Cameroon, Comoros, Congo (DR), Djibouti, Eritrea, Ethiopia, Gabon, Ghana, Kenya, Lesotho, Madagascar, Malawi, Mauritius, Mayotte, Mozambique, Namibia, Reunion, Rwanda, Senegal, Seychelles, Somalia, South Sudan, Swaziland, Tanzania, Uganda, Zambia, and Zimbabwe. The Office is staffed with 25 employees, including an American Director, and engages 24 bibliographic representatives in the countries it covers. The Office acquires publications for two national libraries (the Library of Congress and National Library of Medicine) and for 30 institutions that participate in the African Cooperative Acquisitions Program (AfriCAP), primarily university libraries in the U.S.

Sub-Saharan Africa is perhaps the most challenging world region in which to undertake library acquisitions work, making AfriCAP an especially critical service to the U.S. academic community. Commercial book vendors and distributors are virtually non-existent, and non-trade publications are generally printed in limited runs due to scarce resources. Successful acquisitions work relies heavily on travel to ensure acquisitions during narrow windows of availability, as well as intensive face-to-face communication with sources in order to successfully navigate the bureaucracies. In fiscal 2019, acquisitions staff made in-person visits to 1,464 different publications sources across Sub-Saharan Africa. Materials collected are in Amharic/Tigrinya, Somali, Kiswahili, English, French, German, Portuguese, and more than 40 indigenous African languages. In some countries, political instability poses significant challenges to collection efforts. For decades, LOC had no regular means of acquiring publications from Somalia, Eritrea, and South Sudan, but since 2017 the Office has devised workable acquisitions arrangements for all three. One notable fiscal 2019 acquisition from South Sudan comprises pdf copies of all public laws

passed since independence in 2011. Additionally, office personnel undertook successful acquisitions trips to Burundi, Cameroon, and Zimbabwe, all countries in which personal security is a serious concern. From all countries covered, the Nairobi Office acquired and processed 69,673 documents for the Library and AfriCAP participant libraries, with a current arrears of 6,000 in the Office.

The Nairobi Office catalogs all monographs and new serial titles that are acquired and maintains records of all issues of newspapers and other serials received. Nairobi catalogers created or updated 3,262 bibliographic records for monographs, serials, maps, CDs, and DVDs. Additionally, they created or updated 1,746 name authority records, and submitted proposals for three new subject headings and seven new classification numbers. Ongoing work of the Nairobi Office includes serials check-in into the Library's Integrated Library System for all categories except Law; and whole book cataloging in all subjects except Music and Law. Nairobi Office catalogers are participating in the BIBFRAME 2.0 Pilot Project, and are currently creating bibliographic records in the new standard. Additionally, the office undertook full-level cataloging of electronic government documents for the first time, and prepared for its maiden web archiving project to preserve web sites documenting the 2019 Mozambique Presidential and Parliamentary Elections. More than 500 electronic news clippings from Kenya, 269 electronic issues of the Namibia *Official Gazette*, and 92 electronic issues of the *Journal officiel de la République gabonaise* were sent to the Congressional Research Service, Federal Research Division, and Law Library.

A significant activity of the Office remains the preservation of African newspapers. In fiscal 2019, approximately 523,000 pages were collated and shipped to the New Delhi Office and Center for Research Libraries (CRL) for film processing. The Office submitted two microfilm funding proposals to the Cooperative Africana Materials Project (CAMP), one of which (for Gabon) has been approved and the other (for Cameroon) is under consideration. The first, a group of 37 at-risk Gabon newspapers comprising approximately 28,850 pages, was approved at \$11,400. Additionally, the Office contributed 13,838 pages to a Yale University Library and Northwestern University Library proposal for the microfilming of Lesotho newspaper titles from 1990 to 2018. Almost all of these newspapers are in a fragile state (yellowed, brittle, and worn out) and not readily available elsewhere.

New Delhi, India, Field Office

The Library of Congress Office in New Delhi, India, established in 1963, is the regional center for the acquisition, cataloging, preservation and shipping of print and non-print materials published in India, Bhutan, and the Maldives, as well as Bangladesh, Nepal, and Sri Lanka, where it maintains sub-offices. Its mission is to respond to the information needs of the Congress, other U.S. agencies,

and the scholarly community by: 1) adding to the depth and comprehensiveness of the Library's South Asia collections; 2) providing complete online bibliographic access to these publications; 3) preserving "at risk" publications; and 4) administering the South Asia Cooperative Acquisitions Program (SACAP). The Office has a staff of 73, 13 on-site contract staff for packing and unpacking services, and an American Director and Deputy Director. SACAP has 57 participants from universities and institutional libraries.

A challenge to accomplishing the mission is the lack of a developed book trade that impedes the identification and acquisition of new research quality publications without having a local presence in each Indian state. The situation is further aggravated by the large volume and uneven quality of the commercial, non-commercial, and government publishing sectors, all of which reflect the active social, political, and economic environment in the world's largest democracy.

The six sections in the New Delhi Office are: Acquisitions, Cataloging, Serials, Microfilm, Management Services and Information Technology. Three sub offices in Colombo, Dhaka, and Kathmandu are located in American Embassies. Staff acquire publications and create bibliographic records in a wide range of languages. 9,436 bibliographic records were created. Catalogers created or revised 7,560 authority records and classification proposals; 5,258 new authority records, 2,194 authorities revised, 53 new subject authorities, 20 subject authorities revised and 35 new classification proposals. Publications were in: Assamese, Bengali, Dogri, English, Gujarati, Hindi and Hindi dialects, Kannada, Kashmiri, Khasi, Konkani, Lushai, Malayalam, Manipuri, Marathi, Nepali, Newari, Oriya, Pali, Panjabi, Prakrit, Rajasthani, Sanskrit, Sinhala, Tamil, Telugu, Tibetan, Tulu, and Urdu. The Office sent 97.26 percent of all publications cataloged by office staff as "shelf-ready." These are print monographs cataloged as minimal level and those receiving whole book cataloging.

Commercial publications are supplied on approval by 24 dealers. The Office uses services of bibliographic representatives in countries and states with minimal, but important, publishing activity. Commercial and non-commercial publications are supplied by eight bibliographic representatives in Bhutan and seven North Eastern states in India that constantly experience communal, social, religious and ethnic unrest. Staff members carry out local and distant acquisitions trips to obtain non-commercial, controversial, underground, and hard-to-acquire publications that are not available to commercial dealers.

The Microfilm section, in fiscal 2019, reformatted 1,580,049 pages of newspapers, periodicals and gazettes. It produced 2,039 master negatives; 2,013 print negatives; and 1,926 positives. Its master list consists of 205 newspapers, 22 periodicals, and 18 gazettes from 42 countries covered by New Delhi (and its sub-offices), and Library offices in Cairo, Islamabad, and Nairobi, and the Library representative in Mongolia.

OFORS Phase I was implemented in New Delhi in fiscal 2015. Phase II: in fiscal 2019 the Binding module was implemented in April 2019, the Shipping module tested satisfactorily and will be implemented in early fiscal 2020.

Rio de Janeiro, Brazil, Field Office

The overseas office in Rio de Janeiro, Brazil, established in 1966, acquires and processes materials from five countries: Brazil, French Guiana, Guyana, Suriname and Uruguay. The Rio de Janeiro Office acquisitions librarians collect elusive academic materials for use by the Congress, the Library's Hispanic Division (for its *Handbook of Latin American Studies*) and the international scholarly community through their detailed field work. The Office has a staff of fifteen, including an American director. Thirty-eight research librarians participate in the Office's CAP.

In addition to acquiring materials for the Library, the Rio Office acquires serials, cordel literature, and CDs for its CAP participants. Cordels are inexpensively printed pamphlets containing folk tales, poems, and songs that are unique to Brazil. The Brazil CAP started in 1990 with serial subscriptions; music CDs were added in 1999 and a cordel package was added in 2012. The 203 serial titles offered include scholarly journals and newspapers in economics, history, culture, and law. The office acquired 76 biomedical serial titles for the National Library of Medicine (NLM). Brazil's medical research is important to NLM because the country is well known for its advances in such areas as tropical medicine, dentistry, plastic surgery, phytomedicine and antibiotics research.

For the five countries covered by the Rio Office, it is difficult to acquire materials through book dealers or aggregators. Supplying research library materials from the area covered is not a profitable commercial venture due to problems such as poor distribution of published materials, lack of advertising by publishers/sources, scant print runs, legal barriers and geographic inaccessibility. Because of the dearth of vendors, the Office relies on four acquisitions librarians for their expertise to identify new publications, develop relationships with publishers and other sources, travel widely to book fairs, and meet with exchange partners. In fiscal 2019, staff traveled to twelve cities for acquisitions, making a total of 464 visits to government agencies, NGOs, publishers, university presses, and bookstores while collecting 5,475 items. In all, the Office acquired some 19,920 items for both the Library and CAP and cataloged 4,308 (including shelf-ready and descriptive-only items).

Web archiving remains a high priority in recent years, with the ongoing collection Brazil Cordel Literature Online, preserving 39 blogs and sites since its inception in 2011. In August 2018 the Office compiled a list of political websites for the 2018 presidential election. With the collaboration of the Hispanic Division's Brazil specialist and a specialist from the National Library of Brazil, a list of 62 political candidate, political parties, special sections of newspapers, fact checkers

and bloggers was compiled for web harvesting. The crawling continued until January 2, 2019.

The 2016 supplement was the last BPG set for microfilm. This year some 487 pamphlets were sent to Princeton University Library as per our agreement. All were cataloged, digitized and ingested into the Digital Archive of Latin American and Caribbean Ephemera (<https://lae.princeton.edu/>) which is open access to everyone.

The Office played a critical role in the repatriation of some 40 reels of mostly silent films from Hollywood of the 1920-30s. Deemed hazardous materials for shipping, the field director had to take an online course to be certified as a "hazmat" shipper to send the materials to the Library. It was a four-month process involving several government agencies from both Brazil and the US.

Library of Congress Cooperative Acquisitions Program Participants by State and Country							
	Participant	India	Egypt	Pakistan	Kenya	Indonesia	Brazil
United States							
Arizona	Arizona State University					X	
	University of Arizona		X				
California	Defense Language Institute		X	X		X	
	Stanford University	X		X	X		X
	Stanford Law Library						
	UC, Berkeley	X	X	X	X	X	X
	UC, Berkeley, East Asia	X					
	UC, Berkeley, Law Library			X	X	X	
	UC, Irvine						
	UC, Los Angeles	X	X	X	X	X	X
	UC, Los Angeles--Diaspora					X	
	UC, Riverside					X	
	UC, San Diego						X
	UC, Santa Cruz						
	University of Southern California						X
	University of Colorado	X					
Colorado	Yale Divinity Library					X	
Connecticut	Yale University	X		X	X	X	X
	Yale University Law Library	X	X	X	X		
	Inter-American Development Bank						
District of Columbia	Open Source Center					X	
	University of Florida						X
Florida	Emory University	X			X		X
Georgia	University of Georgia						X
	University of Hawaii	X		X		X	
Hawaii	Center for Research Libraries	X	X	X	X	X	
Illinois	Northern Illinois University					X	
	Northwestern University	X		X	X	X	
	University of Chicago	X	X	X	X		
	University of Illinois	X	X	X	X		X
	Indiana University	X	X	X	X	X	
Indiana	University of Notre Dame						
	University of Iowa	X		X	X	X	X
Iowa	University of Iowa Law Library	X	X	X	X	X	X
	University of Kansas				X		
Kansas	Tulane University						X
Louisiana	National Agricultural Library	X				X	
Maryland	National Library of Medicine	X	X	X	X	X	X
	University of Maryland						
	Boston University				X		
Massachusetts	Harvard University	X		X	X	X	X
	Harvard University--Baker Library (Busi & Mgmt)	X					
	Harvard University--Fine Arts Library	X					
	Harvard University--Loeb Music Library	X					
	Harvard University--Map Collection	X					
	Harvard University--Widener ReCAP	X					

Library of Congress Cooperative Acquisitions Program Participants by State and Country							
	Participant	India	Egypt	Pakistan	Kenya	Indonesia	Brazil
	Harvard Law Library	X	X	X		X	
	Harvard Middle Eastern Division	X	X	X			
	University of Michigan	X	X	X	X	X	X
	Michigan State University				X	X	X
	University of Minnesota	X	X	X			X
Michigan	Washington University	X	X	X			
	Tibetan Language Institute	X					
Minnesota	Princeton University	X	X	X	X		X
	Princeton University—Onsite	X					
Missouri	Rutgers University						X
Montana	University of New Mexico						X
New Jersey	Columbia University	X	X	X	X	X	X
	Columbia University—ReCAP	X					
	Columbia University Law Library	X		X	X		
New Mexico	Cornell University	X	X	X	X		X
New York	Cornell University Echols Collection	X				X	
	Cornell University Law Library	X		X			
	New York Public Library	X	X		X		X
	New York University	X	X	X			X
	SUNY, Binghamton		X				
	Syracuse University	X					
	Duke University	X	X	X	X		X
	North Carolina State University	X		X			
	University of North Carolina	X	X	X		X	X
North Carolina	University of North Carolina - South Asia Collection	X					
	ITSC Library						
	Ohio State University		X				X
	Ohio University				X	X	
Ohio	Wooster College	X					
	Portland State University		X				
	Pennsylvania State University				X	X	
	Temple University		X			X	
Oregon	University of Pennsylvania	X	X	X	X	X	
Pennsylvania	University of Pennsylvania -- Biddle Law Library	X					
	University of Pittsburgh						X
	University of Pittsburgh Law Library		X				
	Brown University	X	X	X			X
	Vanderbilt University						X
	Rice University						X
Rhode Island	University of Texas	X		X		X	X
Tennessee	Brigham Young University		X				X
Texas	University of Utah		X				
	University of Virginia	X	X	X			
Utah	University of Washington	X	X	X		X	X
	University of Wisconsin	X		X	X	X	X
Virginia	University of Wisconsin Law Library					X	
Washington	80 participants	53	34	37	30	34	36

Library of Congress Cooperative Acquisitions Program Participants by State and Country							
	Participant	India	Egypt	Pakistan	Kenya	Indonesia	Brazil
Wisconsin							
	Murdoch University Library					X	
Subtotal, United States	National Library of Australia					X	
Foreign Countries	McGill University	X	X	X		X	
Australia	Royal Ontario Museum					X	
	University of British Columbia	X				X	
Canada	University of Toronto	X	X	X			
	American University, Cairo		X				
	Ibero-Amerikanisches Institut						X
	Universitäts Bibliothek, Frankfurt-am-Main				X		
Egypt	Universitäts und Landesbibliothek			X			
Germany	Sachsen-Anhalt						
	American Institute for Indonesian Studies					X	
	Kyoto University, Center for Southeast					X	
	Asian Studies						
Indonesia	National Diet Library					X	
Japan	American University of Bierut						
	King Abdul Aziz al-Saoud Foundation		X				
	Peace Palace Library		X				
Lebanon	Leiden University					X	
Morocco	Northwestern University in Qatar Library		X				
The Netherlands	Qatar National Library		X				
	Institute for South East Asian Studies					X	
Qatar	Singapore National Library Board					X	
	American University of Sharjah		X				
Singapore	Bodleian Librarians	X					
	British Library		X	X			
United Arab Emirates	The Joint Library IIS-ISMC		X				
United Kingdom	University of Essex						X
	University of Exeter		X				
Subtotal, Foreign	26 participants	4	11	4	1	11	2
Total	106 participants	57	45	41	31	45	38

APPENDIX E:

Acquisition of Library Materials by Source

Fiscal 2015- Fiscal 2019

Acquisition of Library Materials by Source Fiscal 2015 - Fiscal 2019

Source	Fiscal 2015	Fiscal 2016	Fiscal 2017	Fiscal 2018	Fiscal 2019
Purchases:					
Appropriated - GENPAC/LAW	630,829	564,984	634,425	549,962	623,518
Appropriated Other	14,089	3,827	11,164	7,073	5,602
Gift and Trust Funds	5,375	27,055	2,238	1,492	4,817
Total Purchases	650,293	595,866	647,827	558,527	633,937
Non-Purchases:					
Exchange	80,199	72,298	54,041	55,650	52,124
Government Transfers	196,657	69,033	58,631	66,706	62,274
Gifts	983,220	1,726,739	936,110	955,459	1,096,866
Cataloging in Publication/PCN	100,710	96,120	94,386	94,165	117,925
Copyright Deposits	615,146	636,479	658,045	736,833	727,427
Total Non-Purchases	1,975,932	2,600,669	1,801,213	1,908,813	2,056,616
Total All Acquisitions	2,626,225	3,196,535	2,449,040	2,467,340	2,690,553

Daily Average Receipts and Items Added to Collections

Fiscal Year	Items Received	Items Added to Collections
2010	15,052	10,233
2011	22,061	18,863
2012	16,034	14,379
2013	13,724	10,599
2014	14,928	11,183
2015	11,818	9,190
2016	14,443	8,319
2017	11,654	10,991
2018	10,952	5,340
2019	10,762	8,794
2010-2019 Average	14,143	10,789

Beginning in FY2019, Items Received excludes Copyright deposits that were retained by the Copyright Office under their management and final disposition

APPENDIX F:

Library of Congress Mass Deacidification Project

Deacidification

Deacidification is a preservation treatment process used to keep print paper materials, mostly general collection bound volumes and manuscript sheets, in usable condition. This treatment is applied to acidic papers before they become brittle, in order to increase the pH and create an alkaline reserve that helps to extend the useful life by a factor of two or more. In 2013, the Library estimated its level of need for Mass Deacidification at 7.5 million book equivalent volumes. (A book equivalent, two pounds of bound material, is the unit of measure used in contract pricing for deacidification of bound volumes of various sizes.) At the close of fiscal 2019, the Library had completed treatment of approximately 4,983,692 million book equivalent volumes, 66 percent of the projected total, and 17,063,656 million sheets of manuscript materials. Current estimates indicate that approximately 2.5 million candidate book equivalent volumes will remain for the life of the program.

Positive Trends

Evaluation of future Mass Deacidification needs reveal several positive trends. At the inception of this program, there were significant concerns about materials from overseas printers who did not have access to acid free paper because of the large number of works from foreign publishers acquired by the Library. However, titles produced overseas in recent years generally conform to the acid free paper standards common to American printers, and the overall rate at which new acidic materials enter the collection remains well below initial projections. Over 80 percent of the priority treatment goals are complete and overall need is declining.

Rebalancing Preservation

In the fiscal 2020 budget, the Library forecast its plans to revisit the role of deacidification services in its overall portfolio of preservation methods, based on the availability of environmentally optimized collection storage, results of cost benchmarking studies, the advancement of reformatting alternatives, and other high-priority collection preservation needs (see the “Rebalancing Preservation Strategies Request”). The Library’s Inspector General also recommended a cost study of the deacidification program alongside other preservation strategies and PRES commissioned an external consulting firm to review the relevant cost factors in fiscal 2019. The results of that study suggest rebalancing preservation strategies to emphasize environmentally optimized storage, which was found to be approximately 2.8 times less expensive per unit. The Rebalancing Preservation Strategies request in this budget describes the main points of that rebalancing and covers the proposed changes in more detail. For the deacidification program, PRES intends to continue with planned production through fiscal 2021, completing deacidification of approximately 170,000 book equivalent volumes and one million sheets of manuscript materials in the period of performance ending May 31 of 2022. At that time, the Mass Deacidification program will be at a level of substantial completeness for bound volumes, having treated over 90 percent of top priority materials and over 70 percent of the total projected need. From that point, the Library believes that the large scale program can be discontinued as the cost per unit becomes more prohibitive.

Deacidification Treatment Fiscal 2002 - Fiscal 2019 (Dollars in Thousands)				
Fiscal Year	Collections Treated			Total Obligations
	Books*		Manuscripts	
	Physical Volumes	Book Equivalents		
^1996-1997		92,000		
^1997-2001		306,258		
2002		170,600	0	\$ 2,748
2003		215,319	696,000	3,687
2004		299,064	1,219,500	4,681
2005		296,119	1,012,500	5,445
2006		298,826	1,069,500	6,614
2007		292,648	1,086,000	5,551
2008		345,937	1,066,500	4,329
2009		325,830	736,500	6,284
2010		330,497	1,365,000	5,444
2011		288,334	1,013,400	5,664
2012		258,087	846,900	6,681
2013	214,825	249,874	851,450	6,098
2014	195,027	240,070	903,461	7,451
2015	183,191	232,105	1,025,686	5,500
2016	158,615	188,737	998,669	5,500
2017	168,969	192,660	589,857	5,500
2018	167,138	193,977	1,214,800	5,500
2019	131,912	166,750	1,367,933	5,336
Totals		4,983,692	17,063,656	
Total, Actuals 2002-2019				\$ 98,013
Total, Estimated 2020-2031				\$ 66,000

\$164,013**Total, Actual and Estimated Thirty-Year Mass Deacidification Program Cost**

*A book equivalent (BE) is a volume weighing two pounds. This unit of measure is used to manage the contract pricing for deacidification of many different sized volumes. Physical volumes is the actual number of books deacidified, which the Library started recording in 2013.

^The number of BE's the Library treated prior to the start of the 2002 Deacidification program

APPENDIX G: Teaching with Primary Sources (TPS)

Overview

The Library's *Teaching with Primary Sources* (TPS) program serves educators across the grade spectrum, across the curriculum, and across the country by providing easily accessible, high-quality professional development programs and classroom materials. These opportunities and tools help educators effectively use primary sources from the Library's vast digital collections in their teaching.

In fiscal 2019, the program continued to serve tens of thousands of teachers from all parts of the country, helping them achieve curricular standards while engaging students in authentic inquiry experiences and encouraging original student research. The TPS team also took important steps to broaden the reach and the scope of the program.

In early fiscal 2019, the Library's Educational Outreach Division, that manages the TPS program, became the Learning and Innovation Office (LIO) in the new Center for Learning, Literacy, and Engagement (CLLE) in the Librarian's Office. Opportunities to incorporate TPS resources and strategies into the Library's on-site programs grew, enabling thousands of visitors to learn about and participate in TPS inspired activities.

Professional Development

Education resource specialists at the Library of Congress and TPS Consortium partners in other institutions and organizations across the country provided a wide variety of professional development opportunities for educators. Through workshops, institutes, conferences, and webinars, TPS efforts served thousands of teachers nationwide.

The Educational Consortium

During fiscal 2019, the 30 TPS Consortium members offered TPS-focused professional development, curricula, apps and online interactives and research for use in K-12 classrooms. Consortium members and Library staff reached nearly 9,000 teachers from 395 Congressional districts. Another 52,000 educators downloaded TPS-focused curricular materials or online interactives/apps that Consortium members made available on their web sites.

In addition, the TPS Teachers Network web site (hosted by a TPS partner), a professional networking site for educators using Library of Congress primary sources in their classrooms, continued to grow in popularity and use. At the end of the fiscal year, 8,388 educators were enrolled on the site.

The regional TPS program, which offers grants small grants to organizations that wish to incorporate Library materials

into their programs for teachers, continued to expand the reach of TPS to new communities across the country. Fiscal 2019 grantees included school districts, historical societies, professional education associations, colleges and universities. These grantees offer teacher professional development focused on using Library resources relating to landmark Supreme Court cases, Native American veterans, poetry, science, geography, etc., with students of diverse backgrounds and abilities.

Also during fiscal 2019, the Learning and Innovation Office released a notice of funding opportunity to identify additional grantees with national outreach and recognition. Through this competitive bidding process, the Library selected four influential new grantees to join the Consortium. National Council of Teachers of English (NCTE), National Council for Social Studies (NCSS), National History Day (NHD) and The Right Question Institute (RQI). These new partners will create co-branded curricular materials with Learning and Innovation Office staff, which embed Library of Congress primary sources into materials to teach language arts, social studies, student questioning and student research. Furthermore, they will use their large constituent networks to widely disseminate the materials developed under their grants throughout the teaching community.

Learning and Innovation Staff

In fiscal 2019, Learning and Innovation Office staff members offered three week-long Summer Teacher Institutes; a 2 ½ day Teaching with Primary Sources workshop for Library Media Specialists; and numerous 1-hour to 1-day Teaching with Primary Sources professional development events delivered at the Library, off-site at conferences, or online via webinar.

Educators from diverse educational settings—library/media specialists, classroom teachers, school administrators, and curriculum developers—took part in these events. Between the three Summer Teacher Institutes and the Library Media Specialist workshop, 112 educators from 36 states and the District of Columbia traveled to the Library of Congress to participate. One session focused on school librarians; one focused on primary sources related to Science, Technology, and Engineering; the remainder were open to educators of all disciplines.

The primary goal of these multi-day professional development events was to provide participants with tools and resources to integrate the Library's digitized primary sources into classroom and library instruction. Participants expressed great satisfaction with the degree to which this goal was met and reported significant gains in learning specific

teaching strategies, skills for navigating the Library's website, and the value of collaboration with other educators. Surveys administered post-session indicated that over 85 percent of participants "strongly agreed" that they could now use Library of Congress digitized primary sources to develop students' critical thinking skills and deepen student subject matter understandings (almost all other participants chose the next selection: "agreed."). Meanwhile, over 40 percent of participating educators reported that they reached over 200 students annually, and another 20 percent stated that they reached between 100-200 students per year. Almost 90 percent of attendees also indicated that they would share what they learned with a colleague, further extending the reach of the program. During the institutes, the Library of Congress Open House was again included, increasing the exposure of more than two-dozen Library divisions to the educators who take what they have learned and share it with colleagues.

In addition to these multi-day professional development events, Learning and Innovation Office staff also offered numerous shorter sessions ranging from 1-hour to 1-day. Workshops offered at the Library of Congress included sessions as diverse as: a one-day workshop for 12 Einstein Fellows, leading K-12 educators in STEM fields specially selected to serve one year in various Federal agencies and U.S. Congressional Offices; a one-day workshop for music educators led by our Music Teacher-in-Residence; a one-day "maker" workshop for STEM teachers led by our Einstein Fellow, featuring items from the Historic American Engineering Record (HAER) collection in honor of its 50-year anniversary; and a workshop for history educators visiting Washington, D.C. for the National Council for History Education (NCHE) Conference.

Conference presentations further allowed Learning and Innovation Office staff to reach diverse audiences throughout the country. Staff offered presentations and exhibited at the annual conferences of the National Council for the Social Studies (NCSS), the National Science Teachers Association (NSTA), the American Library Association (ALA), The National Council for Music Education (NAfME), the National Council for Teachers of English (NCTE), and the National Council for History Education (NCHE). Webinars were also delivered to various internal and external partners to further extend reach.

As a result of these cumulative efforts, TPS met tens of thousands of educators and alerted them to the Library's resources and programs as well as effective strategies for teaching with primary sources.

Digital Initiatives, Publications and Teaching Tools

Twitter: TPS-managed Twitter account for the Library's K-12 audience (@TeachingLC) continued to enable the Library not only to promote its materials and programs to the nation's

teachers, students, and administrators, but also to develop original teaching activities for the medium. By the end of fiscal 2019, the account had more than 35,000 followers, increasing its audience from fiscal 2018 by an additional 6 percent. The account's followers include teachers, librarians, authors, educational organizations and thought leaders, and Members of Congress.

Blog: The Library's blog for teachers, *Teaching with the Library of Congress*, published 110 posts. The blog promotes practical strategies for the effective use of the Library's online collections and spotlighted items from the collections that are especially well suited for classroom use, as well as promoting Library programs and initiatives that support the work of educators. The blog was visited more than 194,000 times in fiscal 2019, and has over 32,000 subscribers.

Articles for Professional Journals: In addition to collaborating with The History Channel on an Idea Book for Educators related to Women's Suffrage (to be published in early fiscal 2020), Learning and Innovation Office staff continued to build Library-centered teacher resources, publishing a new primary source set related to the 19th Amendment; and TPS continued publishing regular features in the NSTA journal, *The Science Teacher*, the NCSS journal, *Social Education*, and the NAfME *Music Educators Journal*. All totaled, 19 original articles were contributed to publications whose combined readership is more than 300,000.

Teachers' Page: The Library's web site for teachers, www.loc.gov/teachers, continued to be an active hub for the Library's educator audience. The web site, which provides teacher resources on a wide range of topics as well as free professional development, was visited more than 5.5 million times in fiscal 2019.

eBooks: Educational Outreach continued to address the needs of the growing tablet-based educational community by offering free educational eBooks, the Student Discovery Sets. These interactive eBooks allow students to draw on, analyze, and explore primary sources from the Library's collections. The Library's teacher eBooks have been downloaded more than 123,000 times to date.

Teachers in Residence

Since 2000, TPS has recruited teachers in residence to work on-site as they advise and make direct contributions to resources and programs developed for educators by the Library's staff. During fiscal 2019, the Library hosted our first Music Teacher-in-Residence, Carolyn Bennett, from Connecticut. She authored or co-authored several articles for education publications, wrote blog posts, presented at conferences; and partnered with the Library's Young Readers Center and Music Division on multiple initiatives.

Also in fiscal 2019, TPS participated in the Albert Einstein Distinguished Educator Fellow Program, an initiative managed by the Department of Energy. The Library hosted Kellie Taylor, an Elementary STEM Educator from Idaho,

who spent eleven months working at the Library, bringing her extensive knowledge, creativity, and experience to TPS efforts to serve science teachers.

Young Readers Center (YRC)

Through the Young Readers Center, the Library provides our youngest visitors and their parents, caregivers, and teachers with on-site and online opportunities to connect with the Library, its collections and the larger literary world. In fiscal 2019, YRC programs and activities further incorporated TPS strategies and approaches, took greater advantage of technology to reach broader audiences and welcomed more than 43,000 visitors. In addition, staff reorganized the entirety of its 7,500 books to align the collections' content and overall collection policy with the larger Library's collections, divisions, resources, and services.

Author/Illustrator Programs

In fiscal 2019, as the YRC realigned its goals and mission with the newly created Center for Learning, Literacy, and Engagement, the YRC hosted twelve programs with authors and illustrators. Programs with authors John Cena and R.L. Stine drew significant attention, a program about James Baldwin's legacy invited teen audience members to celebrate the vast and varied materials and stories in the Library's digitized collections, and Children's Africana Book-Award Winning authors, as well KidsEuro Festival authors, presented programming that will serve as a precursor for Multicultural Event Series of FY20 and beyond. The YRC celebrated Children's Book Week and the launch of the Library's new Children's Book Selections digital collection with a major full-day live-streamed event, broadcast on the Library of Congress YouTube and Facebook channels, featuring local authors reading 20 of the featured books.

The YRC participated in larger Library of Congress initiatives by including a children's program with the Walt Whitman bicentennial celebration, co-hosting Main Reading Room Open House family activities with the Hispanic Division, and presenting a family program about animated films as part of the Library-wide Anime for All program series.

Family Days and Workshops

The YRC partnered with many experts in the Library to pilot various field trip and family-friendly primary source-based programming on weekends. Some highlights were: History of Printing Workshop (featuring 3D printing); Historic American Engineering Record Anniversary Family Day; Scratch coding workshop and Sing and Move Family Day created with TPS Teachers in Residence; and "What is a Library?," a series of field trips created with the Visitor Engagement Office.

Teen Board

The YRC Teen Board, now in its fifth year, engaged 30 students from four different DC public schools. At each of the Board's eight meetings, a guest speaker from one of the

Library's divisions, introduced the students to his/her job at the Library and shared items from the collections to pique student curiosity.

TPS-YRC Internship

The Learning and Innovation Office continued to support a TPS-YRC Internship opportunity to enable college students from across the country, familiar with the TPS program, to serve a semester-long internship in the Library's YRC, working with staff to develop primary source-based, hands-on activities for visitors. In fiscal 2019, TPS welcomed interns from Florida and California.

National Book Festival Participation

Learning and Innovation Office staff and volunteers engaged thousands of visitors in hands-on activities and games featuring facsimiles of primary sources from the Library's collections at the 2019 National Book Festival

Literacy Awards Program

In late fiscal 2019, the Library's Literacy Awards program became part of the Learning and Innovation Office. This enabled TPS experience and expertise to influence and inform planning for the fall 2019 Best Practices Conference.

Future Growth and Development

In fiscal 2020, as part of the Learning and Innovation Office in the new Center for Learning, Literacy and Engagement, TPS will continue to be a leader and key participant in the national conversation on K-12 education, and TPS will continue to contribute to conference panels, program boards, educational publications, and wherever primary-source-based learning and student research are topics of discussion.

Preparing for a program impact study in 2021 will be a priority this fiscal year. Defining impact and determining how to both measure and describe it will be incorporated into the following TPS goals for fiscal 2020:

Professional Learning Opportunities

- Emphasize work with, and opportunities for, civics and science teachers, including hosting a Civics Teacher in Residence and our second Einstein Fellow;
- Pilot-test innovative collaborations with colleagues from across the Library;
- Increase alignment of program areas and approaches, ensuring more "collection connections";
- Create opportunities for Literacy Award Winners and Honorees to learn more about the Library and its collections—and ways to incorporate TPS strategies into literacy programs,
- Increase the diversity of programs (both in terms of participants and content), to reach a larger audience; and
- Expand the Library's online outreach to educators, librarians, and students

Learning Resources and Research

- With strategic TPS partners, co-develop teacher resources that address the needs of specific audiences: Civics, History, Language Arts, and STEM teachers; and Social Studies Methods professors.
- Develop and utilize mobile products to increase awareness of the Library's collections and strategies for teaching with primary sources.
- Develop new tracking and reporting mechanisms and create strategies for discerning the impact of the TPS program; and

In fiscal 2021, TPS will lead the Library's efforts to engage, inspire, and inform teachers and librarians—and will harness its expertise in primary source-based teaching strategies to expand Library-wide initiatives serving early researchers and literacy champions

Through primary source-based programs, publications, innovative on-site experiences, and creative online initiatives, the team will engage audiences in creating and sharing knowledge; inspire a love of reading and research; and inform learners about the mission, functions, and collections of the Library

APPENDIX H:

Copyright Office - Estimated Value of Materials Transferred to the Library Fiscal 2019

Estimated Value of Materials Transferred to the Library of Congress, Fiscal 2019

Category of Work	Registered works transferred	Non-registered works transferred	Total works transferred	Average Unit Price	Value of works transferred
Books	126,080	175,625	301,705		\$23,965,075
<i>Book-hardbound</i>	45,712	18,104	63,816	\$105.80	6,751,733
<i>Book-softbound</i>	80,366	17,866	98,232	41.84	4,110,027
<i>e-books (Pro Quest)</i>	0	20,234	20,234	5.50	111,287
<i>e-books (special relief)</i>	2	119,421	119,423	108.79	12,992,028
Serials	67,556	319,039	386,595		26,182,045
<i>Periodicals</i>	67,548	198,984	266,532	55.93	10,434,994
<i>Newspapers</i>	8	22,320	22,328	1.50	23,444
<i>eSerials</i>	0	97,735	97,735	160.88	15,723,607
Microforms	343	1,628	1,971		295,373
<i>Microfilm</i>	341	1,628	1,969	150.00	295,350
<i>Microfiche</i>	2	0	2	11.61	23
Motion Pictures	3,092	11	3,103		737,769
<i>Film-35mm/70mm/IMAX</i>	15	7	22	14,969.12	329,321
<i>Film 16mm</i>	0	0	0	1,500.00	0
<i>Videotape</i>	3,077	4	3,081	132.57	408,448
CD/DVDs	29,939	1,082	31,021	25.00	775,525
Printed Music	1,846	495	2,341	71.31	166,937
Maps	188	33	221	55.70	12,310
Prints, Posters, Photographs, Works of Art	422	48	470	45.27	21,277
Total	229,466	497,961	727,427		\$52,156,311

1 As of 2010, categories were changed to match format codes in the Copyright Office's eCO system. Newspapers and Film-35mm/70mm/IMAX that year showed substantially fewer works than in previous years where an arithmetical calculation was used. Books and serials showed an increase, partly due to counting published Dramas under Books, as well as increased productivity in that year.

2 60 percent of "Books" are selected for the collections, 40 percent are used for the Library's exchange program.

3 In the "Serials" category, 70 percent of periodicals and newspapers are selected for the collections. For this reason the dollar amount in the value of works transferred column for periodicals and newspapers has been reduced by 30 percent. 100 percent of e-serials are selected.

4 The figure for non-registered "Periodicals" includes: (1) an estimate based on average loads in hampers delivered to Library processing and custodial divisions and (2) a count of serials issues checked in through the Copyright Acquisitions Division. For the estimated portion, there was an earlier change in physical method of delivery, which decreased the average amount per hamper. The figures above reflect a reasonable estimate of current receipts per hamper and are periodically reviewed.

5 Totals do not include certain e-books and e-serials for which online access is negotiated with publishers for the Library of Congress under section 407. In FY 2019 the Library was granted access to 508,560 e-books and 9,046 e-serials that are not included in the numbers in the table.

Copyright Office, Salaries and Expenses
Receipt Authority and Obligations, Fiscal 2016 – Fiscal 2021
(Dollars in Thousands)

Authority/Obligations	2016 Actuals	2017 Actuals	2018 Actuals	2019 Actuals	2020 Estimate	2021 Estimate
Receipt Authority:						
Offsetting collections credited to Copyright Basic program	\$30,000	\$33,619	\$35,218	\$35,004	\$39,218	\$35,004
Offsetting Collections - Prior Year Unobligated Balances credited to the Copyright Basic program		\$6,179	2,260	2,686	4,003	3,000
Filing fees and royalties credited to Licensing program from Cable, Satellite, and DART	5,388	5,531	5,680	4,138	5,952	6,232
Participation fees and royalties credited to CRJ program from Cable, Satellite, and DART	389	398	407	473	530	546
Estimated value of materials transferred to the Library	35,629	40,821	47,592	52,156	53,000	54,000
Total Receipt Authority	\$71,406	\$86,548	\$91,157	\$94,457	\$102,703	\$98,782
Obligations:						
Pay	\$45,301	\$47,071	\$48,645	\$47,715	\$55,221	\$54,753
Other Obligations	12,004	17,687	21,339	23,907	36,619	37,784
Total Obligations	\$57,305	\$64,758	\$69,984	\$71,622	\$91,840	\$92,537
RATIO of Receipt Authority to Obligations	125%	134%	130%	132%	112%	107%

APPENDIX I:

Copyright Office Modernization

The Library of Congress and U.S. Copyright Office (USCO) continue to implement the *Modified USCO Provisional IT Modernization Plan: Analysis of Shared Services, Support Requirements, and Modernization Efforts* (“Modified IT Plan”), submitted to the House and Senate Committees on Appropriations on September 1, 2017.

The Copyright Modernization Office (CMO), established on January 21, 2018, provides direction, collaboration and coordination with all stakeholders on behalf of the USCO in order to ensure that modernization activities are continuously aligned with USCO and Library of Congress strategic goals. CMO serves as the primary liaison with the Library of Congress Office of the Chief Information Officer (OCIO), and the two organizations collaborate closely on IT-related modernization activities. CMO also provides oversight of USCO program management, project management, data management, and business analysis.

The USCO and the Library are in the process of engaging an outside consulting firm to update the timeline for all technical and non-technical activities during the full five-year modernization period, including development of new systems to support document recordation, registration, statutory licensing, and public records searches. The updated timeline will identify milestones and dependencies, clearly delineate roles and responsibilities, and coordinate the availability of resources.

The USCO is pleased to report on the progress of the following projects currently underway

Recordation Development

Development work is in progress on a new recordation system that will replace the current paper-based process. The USCO’s goal is to fully automate the intake, sorting, assignment, and examination of recordation claims. Under the direction and oversight of the OCIO, the recordation project is being developed using an agile software development methodology - an iterative development approach that typically delivers a functional system more quickly than traditional software development methods.

In fiscal 2019, development continued on a Recordation Minimum Viable Product (MVP), a version of the system with basic functionality. Multiple internal releases successfully delivered discrete, limited functionality for demonstration and validation purposes throughout the year. The USCO is planning for a limited public release of the

MVP so that feedback can be obtained for use in guiding continuing development.

Development of the new Public Record System

Development work began to replace the current system of copyright public records with a highly searchable, web-based catalog that integrates records of copyright registrations and recorded documents. The new system will house data from the past systems as well as current system. The goal of the system is to provide improved searchability of the Office’s copyright records, by facilitating user ability to view relationships between records and navigate between them, including locating submitted chain of title information for copyrighted works and associated files; offering both simple and advanced search capabilities and facets to help narrow search results; and allowing users to save, share or download public records. With the development and deployment of the new Public Record System, we should see an enhanced user experience which provides a more complete copyright record.

Registration Development

To prepare for the start of Registration development in fiscal 2020, the USCO conducted several activities during fiscal 2019 to collect and document Registration user needs. A notional list of business priorities was created to capture key system features and their precedence from the business perspective. This list has been used in discussion with OCIO to aid planning for technical activities. The USCO also facilitated road mapping sessions in the summer of 2019 that led to a high-level roadmap for the duration of the Registration development effort and a more detailed, feature level plan for the first full year of development.

Access to Historical Public Records

The USCO has the largest collection of records of copyright ownership in the world. The USCO is undertaking a comprehensive review of all of its pre-1978 (i.e. physical) public records to determine how best to preserve them digitally and make them searchable to the public online.

Virtual Card Catalog The physical Copyright Card Catalog contains records of registrations, renewals, and transfers dating from 1870 through 1977. The USCO has scanned the entire catalog, resulting in approximately 41.5 million imaged records. The Virtual Card Catalog (VCC) makes full-color scans of cards available online for public searching

with drawer-level browsing. The March 2019 software release of the VCC added the remaining images (1870-1954) and completed the Card Catalog collection. The VCC has transitioned to operations and maintenance, however, USCO will also continue to enhance and update the system.

Scanning of Record Books. The USCO continues to scan its collection of Copyright Record Books. There are over 26,000 bound volumes of original copyright applications, including hand-written ledgers. These pre-1978 records present a unique perspective on creativity in America and abroad. In fiscal 2019, a pilot project was completed across a diverse sample of the collection. The results of the pilot will be incorporated into the strategic planning to refine the digitization production phase for this collection, which is scheduled to begin in fiscal 2020. Upon completion of this scanning project, we should be able to provide the copyright community with remote access to records that may help them determine the status of a pre-1978 copyrighted work.

The USCO has partnered with the Library's Federal Research Division (FRD) to perform and manage the metadata quality review process for digitized deliverables. Also, in fiscal 2019, the USCO initiated an agreement and collaborative effort with OCIO to develop a software tool, DLS Sampler, to provide efficient metadata quality review processes, and facilitate reporting of digitized deliverables for Record Books and cards. A minimal viable product of the DLS Sampler is targeted for release in the second quarter of fiscal 2020.

Scanning of Statements of Account The USCO is also scanning paper and microfilmed Statements of Account (SOAs) submitted to the USCO Licensing Division from 1978 to 2017, with a goal of digitizing SOAs for preservation and online access. Nearly two-thirds of the SOAs had been scanned by the end of fiscal 2019.

Enterprise Copyright System Development

The cloud-hosted Enterprise Copyright System (ECS) will provide a more user-friendly platform for the public to transact services with the USCO, will offer streamlined processing internally for faster service delivery, and will be flexible enough to allow the USCO to continue to update its technology through time. The USCO intends that the ECS will not be limited to a particular system, technology, or methodology, but that it is fluid, flexible, and scalable.

In coordination with OCIO, the USCO recommended proceeding with a Request for Information (RFI)/Request for Proposals process to explore industry capabilities for the development of the ECS. To issue the RFI, OCIO is partnering with the General Services Administration (GSA) to leverage GSA's acquisition expertise, including the use of existing Federal agile contracting vehicles and creative contracting strategies.

Enterprise Copyright System User Interface

In fiscal 2019, the USCO continued a robust user outreach and research initiative focused on capturing and integrating feedback from actual USCO customers to inform the design of a user-centric interface for the ECS. A click-through presentation of the Registration interface was finalized, and usability testing was conducted to validate its design. Testing was also conducted to assess the usability and accessibility of the Recordation system. Feedback from this testing is incorporated by the technical team in preparation for the spring 2020 pilot launch. Work also commenced on a global design system, which will allow for a consistent look and feel across all components of the ECS.

Copyright Data Management

Data is central to the USCO's role as an office of public record. Strategic management of that data is necessary to meet the copyright community's needs for information that is authoritative, easily found, well described, secured, and managed across the entire enterprise.

In fiscal 2019, the USCO worked to complete the second phase of the Data Management Plan. This involved the finalization of the baseline plan, which describes how to define standards and processes, identify vulnerabilities, make data digitally enabled, and establish principles for the collection, storage, and analysis of data. This completed baseline plan both outlines the path forward for improving data integrity and integrating data across disparate databases and systems already in use and serves as the framework for the development and integration of modernized IT systems across the USCO, specifically the ECS.

A business intelligence (BI) tool was procured in fiscal 2019. Dashboards built with the BI tool will allow for greater data transparency and data-driven decision making by showcasing processes, identifying bottlenecks and gaps, and relaying key metrics and business related insights.

Additional Modernization Activities

In addition to IT development and related technical activities, the USCO is undertaking major efforts to address the process, organization, and people aspects of modernization.

Business Process Reengineering. Fiscal 2019 saw the initiation of the USCO's business process reengineering (BPR) effort. BPR will allow the USCO to look at its current processes, determine if they are effective, and recommend new methods and processes to reduce operational costs and improve business efficiencies. This effort will be continuous throughout the development process for the ECS.

Organizational Change Management. The USCO began an organizational change management (OCM) effort in fiscal 2019 to build an internal capability of continuous

change management. OCM involves developing key change management processes and documents, training USCO staff on change management practices, and strategic coaching on structuring and leading complex business transformation.

Organizational Analysis. To consider the organization and people aspects of modernization, the USCO engaged the Office of Personnel Management's Human Resources Solutions (OPM) to perform an organizational analysis and workload assessment. The first phase of OPM's work, conducted in fiscal 2019, involved an organizational assessment to identify strengths and weaknesses across the organization and provide information about organizational performance, and a workload analysis to inform FTE recommendations. OPM delivered a draft of its final report

in November 2019. The USCO is now reviewing the findings and determining how to implement key action items. In addition, the USCO will engage OPM in fiscal 2020 to conduct an in-depth classification review of supervisory and managerial positions and perform a succession risk analysis to identify short-term and long-term succession planning concerns.

Space Utilization Study. The USCO partnered with the Library's Integrated Support Services unit to conduct a space utilization study to evaluate current and future space needs based on evolving business requirements and processes, with the goal of ensuring that USCO's physical infrastructure is configured to fully support modernization. The USCO has reviewed the final report and is considering next steps.

APPENDIX J:

Fiscal 2020 - 2025 Facility Project Plan

The below five year list of facilities projects is a result of the strategic planning of the Architect of the Capitol (AOC) and Integrated Support Services (ISS) as to the facilities needs of the Library of Congress. These facility projects support the strategic direction of the Library through a methodical planning process for facility sustainment, modernization, new construction and, when necessary facility leasing. The AOC supports the planning and execution of the work presented here.

ISS is responsible for the day-to-day long-term management and oversight of facility operations, space utilization planning, occupational health, logistics, construction planning and management, asset management, and safety services. In partnership with the AOC, ISS ensures that Library buildings and grounds are maintained for staff, visitors, and the collections.

Multi-Year Facility Project Plan FY 2020-2025				
Category	Service Unit	Project Name	Project Scope	Stage
Fiscal 2020				
Collection Storage	LAW	LAW Quad C Shelving Replacement	Replace existing limited function shelving system with moveable compact shelving. Phase 2 AoC sprinkler completed. Shelving activities underway Received full funding for construction. The project is on schedule and on budget, all metrics are green.	Installation
	LCSG	Ft. Meade Storage Module 6	Module 6 is the first double-wide module at Ft. Meade and will provide approximately 24,500 SF permanent storage for processed and unprocessed collections and 2,232 SF general storage for collections support.	Construction
	LCSG	Ft. Meade Storage Module 7	Design and 100 percent construction documents for Module 7.	Design
	LCSG	Geography & Maps Room LM-B01 Phase 2, 3 and 4	Risk analysis and mitigation planning is complete. Phased project Replace stationary shelving with large format compact mobile shelving to increase storage capacity in existing space. Each phase is approximately 5,000 SF	Installation
	LCSG	Prints & Photographs (P&P) South Vault	Annual Collection Storage Fund Budget project. Design requirements in review. Phased Project. LM-332 Prints & Photographs Collection Storage Area approximately 10,000 SF. Phase 1 of 2. Replace stationary shelving with large format compact mobile shelving to increase storage capacity in existing space.	Design/Installation
	OCOO	Assessment for Compact Shelving Evaluation and Selection -50K sq. ft./yr.		Design
	OCOO	Installation of Compact Shelving	Installation of selected compact shelving	Installation
	OCOO	Exterior Wayfinding - Installation	Fabrication and Installation of the fully designed exterior wayfinding system	Installation
	LCSG/LS	Performing Arts Reading Room	Update furniture, furnishings, and configuration of the Performing Arts Reading Room to consolidate and improve work functions and the patron experience.	Construction
	AOC	Book Conveyor, James Madison Bldg (JMB)	Removing the book conveyor system and pneumatic messenger systems, and repairing all systems as required.	Construction
Infrastructure	AOC	East & West Pavilion Roof Replacement, Thomas Jeff Big (TJB) - Construction	Replace the copper on the East and West main pavilion roofs. Phased construction, West roof is Phase I.	Repair
	AOC	Elevator Modernization	JMB/John Adams Big (JAB): MC 1-4, 13 & 14, JAB 13-14 (Red Core)	Construction
	AOC	Emergency Lighting Upgrade, JAB	Upgrade emergency lighting and exit signage to comply with fire and life safety codes.	Construction

Multi-Year Facility Project Plan FY 2020-2025				
Category	Service Unit	Project Name	Project Scope	Stage
	AOC	JAB Garage Structural Repairs & Entry Improvements	Repair East and West entries to mitigate structural challenges associated with water infiltration.	Repair
	OCCO	Master Key System Upgrades	Replace existing key systems across Capitol Hill	Installation
	USCO	USCO Storage Facility at 1519 Cabin Branch	Design-Build lease 40L SF facility, including high-density storage, office space, and security.	Installation
	AOC	Energy Savings Performance Contract - design/build	To support the AOC's energy savings efforts, the jurisdiction is pursuing an Energy Savings Performance Contract to install high-efficiency facility infrastructure and equipment for minimal up-front investment	Installation
	OCCO	JMMB Emergency Generator Replacement	The overall scope is for two generators and space for a future third. The project will include all electrical paralleling gear and load bank testing equipment. The decommissioned book conveyor shafts will be utilized for utility infrastructure.	Design
	LCSG/LS	LCSG/ NLS Relocation	NLS relocation to the Old Page Dorm, GPO Design Build, and Main Campus Study	Construction
	AOC	JMB 6th Floor Terrace Roof Replacement	Replace James Madison Bulg balcony roof with IRMA type roofing system with pavers	Construction
	AOC	JMB Penthouse Roof Replacement	Replace JMB 6th floor and mechanical space roofs	Construction
	AOC	Rain leader Replacement	Develop construction documents to complete the final phase of the leader replacement projects. Architecture/Engineering (A/E) will also update the as-built drawings to reflect installed conditions for completed sections	Design
	AOC	TJB Sidewalk Lift upgrades	Upgrade electrical system for outdoor environment and add sealable doors.	Repair
	AOC	TJB Emergency Generator, Replacement	Replacement of emergency power generator and supporting infrastructure.	Construction
	AOC	TJB Exterior Envelope	Repair, repointing and cleaning.	Repair
	AOC	TJB Lighting Upgrade	Install code compliant emergency lighting throughout the Thomas Jefferson Building in restrooms, hallways, exhibit spaces, cafeterias, electrical rooms, mechanical rooms, elevator machine rooms and pedestrian tunnels	Installation
	AOC	TJB North Exit Stair	New exit stair in the northeast stacks extending from the cellar to the top floor of the building and corrects common paths of travel violations and dead-end conditions to ensure that occupants are able to exit the building in an efficient and rapid manner.	Construction
	AOC	Assess Data Center Fire Suppression System - National Audio Visual Conservation Center (NAVCC)	Implement plan to replace fire suppression system in data center with a system designed for data centers, NAVCC.	Construction
	OCCO	Cell Phone DAS Upgrades	Replacement of equipment associated with the campus wide cell phone antennas	Design
	AOC	JMMB Fire Alarm	This project will provide the complete design for a new, networked, distributed application, voice evacuation system and the completion of the addressable detection and monitoring device installations for the JMMB	Design/Installation
Work Environment	LIBN	TJB Visitors Experience	Execute Master Plan	Design
	CRS	CRS FDT Renovation	Design the reconfiguration of workspace for CRS' Foreign Affairs, Defense and Trade Division (FDT) in LM-309/317/319	Design
	LIBN	LIBN North Curtain Reconfiguration	- LA-323 & LA-325	Design
	OCCO	CGD Office Reconfiguration (IAB)	Space to accommodate 4 teams. 1 Supervisor, 2 Team Leads, and staff workstations. Swing Space Required	Installation
	OCCO	OCCO Swing Space & Print Shop Reconfiguration (JMB)	LM G14/G56 Reconfigure space to achieve efficiency and buildout as swing space.	Installation

Multi-Year Facility Project Plan FY 2020-2025				
Category	Service Unit	Project Name	Project Scope	Stage
	USCO	COP Public Information and Education (PIE)	Expansion and renovation to accommodate additional staff for the Public Information and Education Office to include LM 453 and LM 401.	Installation
	USCO	COP REG Wall Repainting (JMB)	Register's Suite Wall Repainting to match recently areas renovated in fiscal 2016. LM-403	Installation
	OCIO	OCIO Reconfigure LM G-51 (JMB)	Design LM G51 reconfiguration and fit out. Redesign office space for CIO staff in LMG51 to develop improved workflow and upgrade furniture and furnishings.	Design
	LCSG/LS	LCSG Deck 37 Renovation	Upgrade lighting, fire safety devices/systems, existing perimeter heating and cooling system. General office space upgrade with modular wall offices and systems furniture. Install new carpet and vinyl flooring.	Installation
	LCSG/LS	LCSG Integrated Library Systems (ILS) conference room (JAB)	Redesign conference room LA-302, keep existing tables and provide new chairs, pc tables, and wall-mounted interactive board with projector.	Installation
Fiscal 2021				
Collection Storage	LAW	LAW Quad B Shelving Replacement	Replace existing limited function shelving system with moveable compact shelving.	Design
	LCSG	Ft. Meade Storage Module 6	Module 6 is the first double-wide module at Ft. Meade and will provide approximately 24,500 SF permanent storage for processed and unprocessed collections and 2,232 SF general storage for collections support.	Construction
	LCSG	Ft. Meade Storage Module 7	Design and 100 percent construction documents for Module 7.	Construction
	LCSG	Ft. Meade Storage Module 8	Design and 100 percent construction documents for Module 8.	Design
	LCSG	Geography & Maps Room LM-B01 Phase 2, 3 and 4	Phased project. Replace stationary shelving with large format compact mobile shelving to increase storage capacity in existing space. Each phase is approximately 5,000 SF.	Installation
	LCSG	Photographs & Prints South Vault	Phased Project LM-332 P&P Collection Storage Area approximately 10,000 SF. Phase 1 of 2. Replace stationary shelving with large format compact mobile shelving to increase storage capacity in existing space.	Design/Installation
	OCOO	Assessment for Compact Shelving Evaluation and Selection -50K sq. ft./yr.		Design
	OCOO	Installation of Compact Shelving	Installation of selected compact shelving	Installation
Public Spaces	OCOO	Exterior Wayfinding - Installation	Fabrication and Installation of the fully designed exterior wayfinding system	Installation
	LCSG/LS	Performing Arts Reading Room	Update furniture, furnishings, and configuration of the Performing Arts Reading Room to consolidate and improve work functions and the patron experience.	Construction
Infrastructure	AOC	Book Conveyor, JMB	Removing the book conveyor system and pneumatic messenger systems, and repairing all systems as required.	Construction
	AOC	East & West Pavilion Roof Replacement, TJB - Construction	Replace the copper on the East and West main pavilion roofs. Phased construction, West roof is Phase I.	Repair
	AOC	Elevator Modernization	JMB/JAB MC 1-4, 13 & 14, JAB 13-14 (Red Core)	Construction
	AOC	Emergency Lighting Upgrade, JAB	Upgrade emergency lighting and exit signage to comply with fire and life safety codes	Construction
	AOC	JAB Garage Structural Repairs & Entry Improvements	Repair East and West entries to mitigate structural challenges associated with water infiltration.	Repair
	OCOO	Master Key System Upgrades	Replace existing key systems across Capitol Hill	Installation
	USCO	USCO Storage Facility at 1519 Cabin Branch	Design-Build lease 40L SF facility, including high-density storage, office space, and security.	Installation
	AOC	Energy Savings Performance Contract - design/build	To support the AOC's energy savings efforts, the jurisdiction is pursuing an Energy Savings Performance Contract to install high-efficiency facility infrastructure and equipment for minimal up-front investment	Installation

Multi-Year Facility Project Plan FY 2020-2025				
Category	Service Unit	Project Name	Project Scope	Stage
Work Environment	OCIO	JMMB Emergency Generator Replacement	The overall scope is for two generators and space for a future third. The project will include all electrical paralleling gear and load bank testing equipment. The decommissioned book conveyor shafts will be utilized for utility infrastructure.	Design
	LCSG/LS	LCSG/ NLS Relocation	NLS relocation to the Old Page Dorm, GPO Design Build, and Main Campus Study	Construction
	AOC	JMB 6th Floor Terrace Roof Replacement	Replace Madison balcony roof with IRMA type roofing system with pavers.	Construction
	AOC	JMB Penthouse Roof Replacement	Replace 6th floor and mechanical space roofs.	Construction
	AOC	Rain leader Replacement	Develop construction documents to complete the final phase of the leader replacement projects. A/E will also update the as-built drawings to reflect installed conditions for completed sections.	Design
	AOC	TJ Sidewalk Lift upgrades	Upgrade electrical system for outdoor environment and add sealable doors.	Repair
	AOC	TJB Emergency Generator, Replacement	Replacement of emergency power generator and supporting infrastructure	Construction
	AOC	TJB Exterior Envelope	Repair, repointing and cleaning.	Repair
	AOC	TJB Lighting Upgrade	Install code compliant emergency lighting throughout the Thomas Jefferson Building in restrooms, hallways, exhibit spaces, cafeterias, electrical rooms, mechanical rooms, elevator machine rooms and pedestrian tunnels.	Installation
	AOC	TJB North Exit Stair	New exit stair in the northeast stacks extending from the cellar to the top floor of the building and corrects common paths of travel violations and dead-end conditions to ensure that occupants are able to exit the building in an efficient and rapid manner.	Construction
	AOC	Assess Data Center Fire Suppression System - NAVCC	Implement plan to replace fire suppression system in data center with a system designed for data centers, NAVCC.	Construction
	OCIO	Cell Phone DAS Upgrades	Replacement of equipment associated with the campus wide cell phone antennas.	Design
	AOC	JMMB Fire Alarm	This project will provide the complete design for a new, networked, distributed application, voice evacuation system and the completion of the addressable detection and monitoring device installations for the JMMB.	Design/Installation
	LIBN	TJB Visitors Experience	Execute Master Plan	Construction
	OCIO	OCIO Centralization Support	Multi; Develop high-level strategy for the centralization of OCIO offices and provide an executable design.	Design
	OCIO	OCIO Reconfigure LM G-51 (JMB)	Design LM G51 reconfiguration and fit out. Redesign office space for CIO staff in LM G51 to develop improved workflow and upgrade furniture and furnishings.	Design
	LCSG/LS	LCSG Deck 37 Renovation	Upgrade lighting, fire safety devices/systems, existing perimeter heating and cooling system. General office space upgrade with modular wall offices and systems furniture. Install new carpet and vinyl flooring.	Installation
	LAW	Law Library Supervisor Office Optimization	Optimize office space for GS-15 Supervisors and Senior Leaders.	Installation
	LCSG/LS	LCSG AFC-VHP reading room and work spaces in Jefferson Bldg	Move to North Curtain of ground floor as part of the Visitor Experience Master Plan. Current AFC-VHP space in South Curtain will be repurposed for Youth Center activities.	Construction
	LCSG/LS	LCSG LJ-G42 CMD Consolidation	Consolidate 5 CMD and 2 RRS staff from the North Curtain.	Design
	LCSG/LS	LCSG Music Cataloging Room	Two Phased project. Phase 1 - LM-110 vacant space will be converted into swing space for the Music Catalogers situated in LM-119A. Phase 2 - LM-119/119A will undergo renovation.	Construction
	LCSG/LS	LCSG NAVCC - 3rd Floor Storage Space Lighting	Install lighting to meet OSHA standards in the Packard Campus 3rd floor storage space.	Installation
	LIBN	LIBN CRO New Office Furniture - 4 Offices	Furniture is at end of useful life, replace furniture and paint offices.	Installation

Multi-Year Facility Project Plan FY 2020-2025				
Category	Service Unit	Project Name	Project Scope	Stage
	LIBN	LIBN Master Control Lighting	Install track lighting, paint ceiling and walls.	Installation
	OCIO	OCIO Convert Storage Room to Office	Convert the records room to into an Office for staff.	Installation
	OCOO	OCOO Correct AHAP LA 522	Inherit from LS unprioritized project. Non-Reading Room side of 5th Fl. Old generation Steelcase panel base cover plates are failing due to over-use for cable management. Large bundle of voice/data cabling enter panel base cover plates directly from hole in building floor. Multiple panel base cover plates have voice/data jacks mounted directly on them. Add cable management. Increase number of voice/data cable connections to building floor. Problematic workstations are used as book truck parking areas, not occupied by staff.	Installation
	OCOO	OCOO OCFO Office Reconfiguration	LM-613 OCFO Reconfiguration	Design
	OCOO	OCOO Wellness Center Expansion - Design	Update HVAC and reconfigure rooms.	Construction
	OCOO	USCP Refresh	Upgrade LM-G40 USCP breakroom area including workstations and flooring. (JMB)	Installation
	USCO	COP CRB Hearing Room Redesign	Redesign and Expansion of Hearing Room LM 408 (JMB)	Design
	USCO	COP WIDE Restacking	Continue restacking effort to include remaining all Copyright divisions and offices based on recommendations from the COP Program of Requirements Study	Construction
	OCOO	Assessment for Facility Modernization	Evaluation and Selection -50K sq. ft./yr	Design
	OCOO	Assessment for Facility Modernization	Evaluation and Selection -50K sq. ft./yr.	Construction
Fiscal 2022				
Collection Storage	LAW	LAW Quad B Shelving Replacement	Replace existing limited function shelving system with moveable compact shelving.	Installation
	LCSG	Ft. Meade Storage Module 7	Design and 100% construction documents for Module 7.	Completion
	LCSG	Ft. Meade Storage Module 8	Design and 100% construction documents for Module 8	Design
	LCSG	Geography & Maps Room LM-801	Replace stationary shelving with large format compact mobile shelving to increase storage capacity in existing space. Each phase is approximately 5,000 SF	Installation
Public Spaces Infrastructure	LCSG	Prints & Photographs South Vault	Phased Project. LM-332 P&P Collection Storage Area approximately 10,000 SF: Phase 1 of 2. Replace stationary shelving with large format compact mobile shelving to increase storage capacity in existing space.	Construction
	OCOO	Assessment for Compact Shelving	Evaluation and Selection -50K sq. ft./yr.	Design
	OCOO	Installation of Compact Shelving	Installation of selected compact shelving	Installation
	LCSG/LS	Performing Arts Reading Room	Update furniture, furnishings, and configuration of the Performing Arts Reading Room to consolidate and improve work functions and the patron experience	Construction
	AOC	Book Conveyor, JMIMB	Removing the book conveyor system and pneumatic messenger systems, and repairing all systems as required	Construction
	AOC	East & West Pavilion Roof Replacement, TJB - Construction	Replace the copper on the East and West main pavilion roofs	Repair
	AOC	Elevator Modernization	Phased construction, West roof is Phase I	Construction
	AOC	Emergency Lighting Upgrade, JAB	JMB/JAB: MC 1-4, 13 & 14, JAB 13-14 (Red Core)	Construction
	AOC	JAB Garage Structural Repairs & Entry Improvements	Upgrade emergency lighting and exit signage to comply with fire and life safety codes.	Construction
	AOC	Energy Savings Performance Contract - design/build	Repair East and West entries to mitigate structural challenges associated with water infiltration. To support the AOC's energy savings efforts, the jurisdiction is pursuing an Energy Savings Performance Contract to install high-efficiency facility infrastructure and equipment for minimal up-front investment.	Repair Installation

Multi-Year Facility Project Plan FY 2020-2025				
Category	Service Unit	Project Name	Project Scope	Stage
Work Environment	OCIO	JMMB Emergency Generator Replacement	The overall scope is for two generators and space for a future third. The project will include all electrical paralleling gear and load bank testing equipment. The decommissioned book conveyor shafts will be utilized for utility infrastructure.	Construction
	LCSG/LS	LCSG/ NLS Relocation	NLS relocation to the Old Page Dorm, GPO Design Build, and Main Campus Study	Construction
	AOC	JMB 6th Floor Terrace Roof Replacement	Replace Madison balcony roof with IRMA type roofing system with pavers.	Construction
	AOC	JMB Penthouse Roof Replacement	Replace 6th floor and mechanical space roofs.	Construction
	AOC	Rain leader Replacement	Develop construction documents to complete the final phase of the leader replacement projects. A/E will also update the as-built drawings to reflect installed conditions for completed sections.	Construction
	AOC	TJ Sidewalk Lift upgrades	Upgrade electrical system for outdoor environment and add sealable doors	Repair
	AOC	TJB Emergency Generator, Replacement	Replacement of emergency power generator and supporting infrastructure.	Construction
	AOC	TJB Exterior Envelope	Repair, repointing and cleaning	Repair
	AOC	TJB Lighting Upgrade	Install code compliant emergency lighting throughout the Thomas Jefferson Building in restrooms, hallways, exhibit spaces, cafeterias, electrical rooms, mechanical rooms, elevator machine rooms and pedestrian tunnels	Installation
	AOC	TJB North Exit Stair	New exit stair in the northeast stacks extending from the cellar to the top floor of the building and corrects common paths of travel violations and dead-end conditions to ensure that occupants are able to exit the building in an efficient and rapid manner.	Construction
	AOC	Assess Data Center Fire Suppression System - NAVCC	Implement plan to replace fire suppression system in data center with a system designed for data centers, NAVCC.	Construction
	OCIO	Cell Phone DAS Upgrades	Replacement of equipment associated with the campus wide cell phone antennas.	Construction
	AOC	JMMB Fire Alarm	This project will provide the complete design for a new, networked, distributed application, voice evacuation system and the completion of the addressable detection and monitoring device installations for the JMMB	Design/Installation
	LIBN	TJB Visitors Experience	Execute Master Plan	Construction
	LBN	Madison Atrium and Foyer Refurbishment - Design	Madison Atrium and Foyer Refurbishment options	Design
	LCSG/LS	LCSG Music Cataloging Room	Two Phased project. Phase 1 - LM-110 vacant space will be converted into swing space for the Music Catalogers situated in LM -119A. Phase 2 - LM-119/119A will undergo renovation	Construction
	LCSG/LS	TJB Visitor's Experience Master Plan (VEMP)	Master Plan	Construction
	OCIO	OCIO Convert Storage Room to Office	Convert the records room to into an Office for staff.	Installation
	OCIO	OCIO Reconfigure Cubicles, LM 637	Reconfigure cubicles (JMB)	Installation
	OCOO	OCOO OCFO Office Reconfiguration	LM-613 (JMB) OCFO Reconfiguration	Design/Installation
	OCOO	OCOO Wellness Center Expansion - Design	Update HVAC and reconfigure rooms.	Construction
	USCO	COP CRB Hearing Room Redesign	Redesign and Expansion of Hearing Room LM 408	Design
	USCO	COP WIDE Restacking	Continue restacking effort to include remaining all Copyright divisions and offices based on recommendations from the COP Program of Requirements Study	Construction
	OCOO	Assessment for Facility Modernization	Evaluation and Selection -50K sq. ft./yr.	Design

Multi-Year Facility Project Plan FY 2020-2025				
Category	Service Unit	Project Name	Project Scope	Stage
Fiscal 2023				
Collection Storage	OCOO	Assessment for Facility Modernization	Evaluation and Selection -50K sq. ft./yr.	Construction
	LAW	LAW Quad B Shelving Replacement	Replace existing limited function shelving system with moveable compact shelving.	Installation
	LAW	LAW Quad D Shelving Replacement	Replace existing limited function shelving system with moveable compact shelving.	Evaluation
	LCSG	Ft. Meade Storage Module 7	Design and 100% construction documents for Module 7.	Completion
	LCSG	Ft. Meade Storage Module 8	Design and 100% construction documents for Module 8.	Construction
Public Spaces	OCOO	Assessment for Compact Shelving	Evaluation and Selection -50K sq. ft./yr	Design
Infrastructure	OCOO	Installation of Compact Shelving	Installation of selected compact shelving	Installation
	LCSG/LS	Performing Arts Reading Room	Update furniture, furnishings, and configuration of the Performing Arts Reading Room to consolidate and improve work functions and the patron experience	Construction
	AOC	Book Conveyor, JMMB	Removing the book conveyor system and pneumatic messenger systems, and repairing all systems as required	Construction
	AOC	JAB Garage Structural Repairs & Entry Improvements	Repair East and West entries to mitigate structural challenges associated with water infiltration	Repair
	AOC	Energy Savings Performance Contract - design/build	To support the AOC's energy savings efforts, the jurisdiction is pursuing an Energy Savings Performance Contract to install high-efficiency facility infrastructure and equipment for minimal up-front investment.	Installation
	OCIO	JMMB Emergency Generator Replacement	The overall scope is for two generators and space for a future third. The project will include all electrical paralleling gear and load bank testing equipment. The decommissioned book conveyor shafts will be utilized for utility infrastructure	Construction
	LCSG/LS	LCSG/ NLS Relocation	NLS relocation to the Old Page Dorm, GPO Design Build, and Main Campus Study	Construction
	AOC	JMB 6th Floor Terrace Roof Replacement	Replace Madison balcony roof with IRMA type roofing system with pavers	Construction
	AOC	JMB Penthouse Roof Replacement	Replace 6th floor and mechanical space roofs.	Construction
	AOC	Rain leader Replacement	Develop construction documents to complete the final phase of the leader replacement projects. A/E will also update the as-built drawings to reflect installed conditions for completed sections	Construction
	AOC	TJB Emergency Generator, Replacement	Replacement of emergency power generator and supporting infrastructure.	Construction
	AOC	TJB Exterior Envelope	Repair, repointing and cleaning.	Repair
	AOC	TJB Lighting Upgrade	Install code compliant emergency lighting throughout the Thomas Jefferson Building in restrooms, hallways, exhibit spaces, cafeterias, electrical rooms, mechanical rooms, elevator machine rooms and pedestrian tunnels.	Installation
	AOC	TJB North Exit Stair	New exit stair in the northeast stacks extending from the cellar to the top floor of the building and corrects common paths of travel violations and dead-end conditions to ensure that occupants are able to exit the building in an efficient and rapid manner.	Construction
	AOC	Assess Data Center Fire Suppression System - NAVCC	Implement plan to replace fire suppression system in data center with a system designed for data centers, NAVCC.	Construction
	OCIO	Cell Phone DAS Upgrades	Replacement of equipment associated with the campus wide cell phone antennas.	Construction
	AOC	JMMB Fire Alarm	This project will provide the complete design for a new, networked, distributed application, voice evacuation system and the completion of the addressable detection and monitoring device installations for the JMMB	Construction
Work Environment	LIBN	TJB Visitors Experience	Execute Master Plan	Construction

Multi-Year Facility Project Plan FY 2020-2025				
Category	Service Unit	Project Name	Project Scope	Stage
	LBN	Madison Atrium and Foyer Refurbishment - Design	JMB Atrium and Foyer Refurbishment options	Design
	OCOO	OCOO OCFO Office Reconfiguration	LM-613 OCFO Reconfiguration (JMB)	Construction
	OCOO	OCOO Wellness Center Expansion - Design	Update HVAC and reconfigure rooms	Construction
	USCO	COP CRB Hearing Room Redesign	Redesign and Expansion of Hearing Room LM 408 (JMB)	Design
	USCO	COP WIDE Restacking	Continue restacking effort to include remaining all Copyright divisions and offices based on recommendations from the COP Program of Requirements Study	Construction
	OCOO	Assessment for Facility Modernization	Evaluation and Selection -50K sq. ft./yr.	Design
Fiscal 2024				
Collection Storage	LAW	LAW Quad B Shelving Replacement	Replace existing limited function shelving system with moveable compact shelving. (JMB)	Installation
	LAW	LAW Quad D Shelving Replacement	Replace existing limited function shelving system with moveable compact shelving. (JMB)	Evaluation
	LCSG	Ft Meade Storage Module 8	Design and 100% construction documents for Module 8.	Construction
	OCOO	Assessment for Compact Shelving	Evaluation and Selection -50K sq. ft./yr.	Design
	OCOO	Installation of Compact Shelving	Installation of selected compact shelving	Installation
Public Spaces	LCSG/LS	Performing Arts Reading Room	Update furniture, furnishings, and configuration of the Performing Arts Reading Room to consolidate and improve work functions and the patron experience.	Construction
Infrastructure	AOC	Book Conveyor, JMMB	Removing the book conveyor system and pneumatic messenger systems, and repairing all systems as required	Construction
	LCSG/LS	LCSG/ NLS Relocation	NLS relocation to the Old Page Dorm, GPO Design Build, and Main Campus Study	Construction
	AOC	JMB 6th Floor Terrace Roof Replacement	Replace Madison balcony roof with IRMA type roofing system with pavers.	Construction
	AOC	Madison Penthouse Roof Replacement	Replace 6th floor and mechanical space roofs.	Construction
	AOC	Rain leader Replacement	Develop construction documents to complete the final phase of the leader replacement projects. A/E will also update the as-built drawings to reflect installed conditions for completed sections.	Construction
	AOC	TJB Emergency Generator, Replacement	Replacement of emergency power generator and supporting infrastructure	Construction
	AOC	TJB Exterior Envelope	Repair, repointing and cleaning.	Repair
	AOC	TJB Lighting Upgrade	Install code compliant emergency lighting throughout the Thomas Jefferson Building in restrooms, hallways, exhibit spaces, cafeterias, electrical rooms, mechanical rooms, elevator machine rooms and pedestrian tunnels.	Installation
	AOC	TJB North Exit Stair	New exit stair in the northeast stacks extending from the cellar to the top floor of the building and corrects common paths of travel violations and dead-end conditions to ensure that occupants are able to exit the building in an efficient and rapid manner.	Construction
	AOC	Assess Data Center Fire Suppression System - NAVCC	Implement plan to replace fire suppression system in data center with a system designed for data centers, NAVCC.	Construction
	OCIO	Cell Phone DAS Upgrades	Replacement of equipment associated with the campus wide cell phone antennas.	Construction
	AOC	JMMB Fire Alarm	This project will provide the complete design for a new, networked, distributed application, voice evacuation system and the completion of the addressable detection and monitoring device installations for the JMMB	Construction
	LIBN	TJB Visitors Experience	Execute Master Plan	Construction
	LBN	Madison Atrium and Foyer Refurbishment - Design	Madison Atrium and Foyer Refurbishment options	Design

Multi-Year Facility Project Plan FY 2020-2025				
Category	Service Unit	Project Name	Project Scope	Stage
Work Environment	OCOO	OCOO Wellness Center Expansion - Design	Update HVAC and reconfigure rooms	Construction
	USCO	COP CRB Hearing Room Redesign	Redesign and Expansion of Hearing Room LM 408	Design
	USCO	COP WIDE Restacking	Continue restacking effort to include remaining all Copyright divisions and offices based on recommendations from the COP Program of Requirements Study	Construction
Fiscal 2025				
Collection Storage	OCOO	Assessment for Facility Modernization	Evaluation and Selection -50K sq. ft./yr.	Construction
	LAW	LAW Quad D Shelving Replacement	Replace existing limited function shelving system with moveable compact shelving.	Construction
	LCSG	Ft. Meade Storage Module 8	Design and 100% construction documents for Module 8	Construction
Public Spaces	OCOO	Assessment for Compact Shelving	Evaluation and Selection -50K sq. ft./yr	Design
Infrastructure	OCOO	Installation of Compact Shelving	Installation of selected compact shelving	Installation
	LCSG/LS	Performing Arts Reading Room	Update furniture, furnishings, and configuration of the Performing Arts Reading Room to consolidate and improve work functions and the patron experience.	Construction
	LCSG/LS	LCSG/ NLS Relocation	NLS relocation to the Old Page Dorm, GPO Design Build, and Main Campus Study	Construction
	AOC	JMB 6th Floor Terrace Roof Replacement	Replace Madison balcony roof with IRMA type roofing system with pavers.	Construction
	AOC	JMB Penthouse Roof Replacement	Replace 6th floor and mechanical space roofs	Construction
	AOC	Rain leader Replacement	Develop construction documents to complete the final phase of the leader replacement projects. A/E will also update the as-built drawings to reflect installed conditions for completed sections.	Construction
	AOC	TJB Emergency Generator, Replacement	Replacement of emergency power generator and supporting infrastructure.	Construction
	AOC	TJB Exterior Envelope	Repair, repointing and cleaning.	Repair
	AOC	TJB Lighting Upgrade	Install code compliant emergency lighting throughout the Thomas Jefferson Building in restrooms, hallways, exhibit spaces, cafeterias, electrical rooms, mechanical rooms, elevator machine rooms and pedestrian tunnels	Installation
	AOC	TJB North Exit Stair	New exit stair in the northeast stacks extending from the cellar to the top floor of the building and corrects common paths of travel violations and dead-end conditions to ensure that occupants are able to exit the building in an efficient and rapid manner.	Construction
	AOC	Assess Data Center Fire Suppression System - NAVCC	Implement plan to replace fire suppression system in data center with a system designed for data centers, NAVCC.	Construction
	OCIO	Cell Phone DAS Upgrades	Replacement of equipment associated with the campus wide cell phone antennas	Construction
	AOC	JMMB Fire Alarm	This project will provide the complete design for a new, networked, distributed application, voice evacuation system and the completion of the addressable detection and monitoring device installations for the JMMB	Construction
	LIBN	TJB Visitors Experience	Execute Master Plan	Construction
	LBN	JMB Atrium and Foyer Refurbishment - Design	Madison Atrium and Foyer Refurbishment options	Design
	USCO	COP CRB Hearing Room Redesign	Redesign and Expansion of Hearing Room LM 408	Construction
	USCO	COP WIDE Restacking	Continue restacking effort to include remaining all Copyright divisions and offices based on recommendations from the COP Program of Requirements Study	Construction
	OCOO	Assessment for Facility Modernization	Evaluation and Selection -50K sq. ft./yr.	Design
	OCOO	Assessment for Facility Modernization	Evaluation and Selection -50K sq. ft./yr.	Construction

APPENDIX K: Collection Storage Modules

The Library of Congress currently stores physical collections at several locations. Aside from the Capital Hill campus, the Library has facilities at Landover, Maryland; Cabin Branch, Maryland; and Ft. Meade, Maryland. The Copyright Office also stores deposits at Landover, Iron Mountain and NARA facilities. Current trends are to vacate the Landover Annex, continue to build storage modules on the 97 acres at Ft. Meade and in the transition period lease less expensive, more desirable space at Cabin Branch.

Ft. Meade Storage Module 5: Construction of the Library's fifth collection storage module at Ft. Meade is complete. The permanent Certificate of Occupancy was issued October 2017, and placement of collections is underway. Transfer of 1.2 million books from the Landover Center Annex (LCA) is complete. In December 2019, when transfer of 38,000 containers from the Cabin Branch facility is expected to be complete, Storage Module 5 will be filled to approximately 90 percent of capacity.

The completed facility provides approximately 12,750 square feet (SF) of secure, environmentally optimized storage for collections, including high-bay shelving, preservation quality heating, ventilation and air conditioning (HVAC), desiccant dehumidification and integrated fire protection systems. The facility achieves LC strategic objectives by enhancing storage and preservation of collections, expanding access, and modernizing operations.

Ft. Meade Storage Module 6: Design of Module 6 is complete and construction underway. The contract for construction, awarded in December 2018, is on schedule and on budget with completion scheduled in May 2021. Following integration of security systems and information technology, placement of collections is scheduled to begin in July 2021.

Storage Module 6 is the first double-wide module to be constructed at Ft. Meade, providing approximately 24,500 SF optimized for collections storage and approximately 2,200 SF general storage for collections support. The project also includes site work for future Storage Module 7, new roads and main entrance to the site, and many enhancements for sustainability.

Ft. Meade Module 7: Design, construction documents, and cost estimates for Storage Module 7 are complete. Third-party reviews required by the Government Accountability Office (GAO) for major projects are complete. It is anticipated that the Architect of the Capitol (AOC) will request funding for construction in fiscal year 2021.

When funded, Storage Module 7 will be the second doublewide module at Ft. Meade and will complete the

facility build-out to the west (future Library facilities are planned to the east). The facility includes 24,500 SF optimized for collections storage plus circulation, egress stairs, mechanical space, and new electrical service.

Collections Storage Facility at 1503 Cabin Branch: Design and construction of the 50,530 SF leased facility for interim storage of Library collections is complete. The permanent Certificate of Occupancy was issued in June 2017. The secure, environmentally conditioned facility is fully operational and transfer of collections underway. Pursuant to the interagency agreement, the AOC administers the lease and manages facility operations and maintenance.

Logistics Facility at 1505 Cabin Branch: Design and construction of the 56,121 SF leased facility to support Library logistics and general warehousing is complete. The permanent Certificate of Occupancy was issued in January 2018. Transfer of general storage from LCA, staff relocation and operational startup are complete. Pursuant to the interagency agreement, the AOC administers the lease and manages facility operations and maintenance.

The Logistics Services Division manages the Library's receiving and warehousing operations including receiving, storing, and delivering bulk merchandise such as equipment, furniture and supplies; managing inventory; and disposing of surplus property.

Copyright Deposits Facility at 1519 Cabin Branch: Pursuant to a request from the Librarian of Congress, the AOC in September 2019, leased a facility for interim storage of United States Copyright Office (USCO) deposits. The planned 40,000 SF facility will provide approximately 30,000 SF of secure, high-bay storage optimized for USCO deposits, plus space for receiving, processing and administrative operations.

When complete in 2020, the facility will provide capacity for interim storage of USCO deposits until a permanent storage solution is available. The plan and schedule supports the Library's strategy for vacating the Landover Collections Annex (LCA), and is a first step toward consolidation of USCO deposits currently stored in other locations (Iron Mountain and NARA). As with other Library facilities at Cabin Branch, the AOC will administer the lease and manage facility operations and maintenance.

Landover Collections Annex: The Library intends to vacate LCA in early calendar year 2022 assuming the construction of Ft. Meade Storage Module 6 is completed in late fiscal year 2021. In fiscal year 2019 the Library reduced the total occupied space at the facility by 25,000 SF.

APPENDIX L: Performance Measures and Customer Service

Released in October 2019, the Library's new Strategic Plan, *Enriching the Library Experience*, defines a user-centered, digitally enabled, and data-driven direction forward that is focused on four strategic goals designed to support the Library's mission. Implementing this strategic plan will enable the Library to expose its vast collections and knowledge to more users, greatly increasing our impact. The Library of Congress' four strategic goals are to:

- **Expand Access.** Make our unique collections, experts, and services available when, where, and how users need them.
- **Enhance Services.** Create valuable experiences for every user to foster lifelong connections to the Library.
- **Optimize Resources.** Modernize, strengthen, and streamline our operational capabilities.
- **Measure Impact.** Use data to demonstrate our impact on the world around us, justify investment of resources by the American people, and share a powerful story.

Importantly, the Library included Measuring Impact as one of our four strategic goals. While measuring impact is an important component of work supporting the first three goals, the Library established this stand-alone goal to ensure investment in and attention to the efforts the Library is making to significantly strengthen our effectiveness and efficiency in all areas

In support of the Library's Strategic Plan, the Library's Service Units and Centers (Units) developed internal management documents, termed *Directional Plans*. The Directional Plans define the priority work that will drive progress to the agency goals while also fulfilling unique Unit-specific

missions. This effort, completed in early 2019, was the first time in many years that each of the Library's Units provided plans in support of and aligned to the agency-wide strategic plan. Within these Directional Plans, each Unit identifies goals, objectives, and unit-level initiatives as well as designated agency-level priority initiatives. Importantly, the Units also articulate how they will track progress on their priority initiatives using impact-based measures. The Directional Plans are intended to be living management documents that feed other planning, reporting, and documentation needs, such as the establishment of annual performance goals and targets

Regular evaluation and improvement are critical components to successful strategic plan implementation. The Library is continuing the work begun in 2017 to strengthen our performance management approach by reducing the number of output-based measures we use to track performance, shifting to more outcome and impact-oriented measures. Starting in fiscal 2020, Library leadership will rely upon a recently launched integrated performance management framework designed to track advancement to the Library's strategic goals. Using the measures articulated by Units within their Directional Plans and Units' annual performance goals and targets, agency-priority initiatives will be monitored and reported to the Library's Executive Committee.

Many of the measures identified by the Units within their Directional Plans rely on data and feedback collected from Library customers, or 'users'. This has led to an expansion of our work to collect, analyze, and make decisions from user feedback. With the new Strategic and Directional Plans in place, the Library will continue to build on that effort using new methods and activities, including user surveys. Through this outcome-focused, evidence-based approach, the Library will provide a more meaningful experience and improve the likelihood of achieving our vision of connecting all Americans to the Library of Congress.

APPENDIX M:

NLS Modernization

Background

On March 3, 1931, the Pratt-Smoot Act became law, providing \$100,000 to be administered by the Library of Congress, fostering a book program for blind Americans beginning four months later on July 1, 1931. Now approaching its eighty-ninth year of service, the Library of Congress' National Library Service for the Blind and Print Disabled continues to innovate and adapt to meet the reading needs of blind and print disabled Americans across the nation and overseas.¹ Encompassing an institutional history that traverses phonographic records, cassette players and tapes, digital talking book machines and flash memory cartridges, and the internet, all the while continuing to supply hard copy braille materials, NLS sits at the precipice of an exciting digital future.

Digital Future

Over the next five to seven years, NLS will be striving to double the number of blind and print disabled patrons it serves with digital audio and braille content delivered via Wi-Fi or cellular systems directly to various digital devices, including braille eReaders and smart devices with voice user interface. This paradigm shift to a digitally based future state is driven by several factors: the 2015 Government Accountability Office (GAO) recommendations to modernize services and ease access;² the 2013 Marrakesh Treaty and 2018 Marrakesh Treaty Implementation Act; the aforementioned potential doubling of NLS patrons; and numerous legacy systems and service models that cannot support an expanded user base. NLS sits at an opportune time to modernize its business practices and IT infrastructure to continue to meet its congressionally-mandated mission.

Areas of Modernization

NLS is holistically modernizing in six main areas:

- an updated name change
- amended laws and regulations
- digital braille implementation
- new modern IT systems and business practices
- new digital devices for talking book delivery
- digital content delivery mechanisms and funding

¹ NLS' mission is "[t]o provide books, magazines, musical scores, foreign language, locally produced materials and texts in braille and recorded formats to blind and print disabled individuals in the United States & US citizens living abroad." Its Vision Statement is *That All May Read*.

² GAO Report 16-355, "LIBRARY SERVICES FOR THOSE WITH DISABILITIES: Additional Steps Needed to Ease Access to Services and Modernize Technology," published April 4, 2016.

Last October the Librarian instituted an important name change for NLS modernizing its identity and allowing it to more properly identify itself with those it seeks to serve. The use of the term "print disabled" (i.e., "The National Library Service for the Blind and Print Disabled") now conforms NLS to the language agreed upon by the blind and Marrakesh communities domestically and internationally.

NLS has sought to harmonize its statutory authorization with the Marrakesh Treaty and Marrakesh Treaty Implementation Act, thereby conforming its terms of eligibility with those works, as well as now allowing NLS to participate in the cross-border exchange of material. NLS (via the Librarian's directive) will also take this opportunity to modernize its regulations related to the reading disabled community so that their eligibility is no longer tethered to the requirement to ascertain a medical doctor's certification.

NLS is also modernizing its braille delivery mechanisms for its braille reading patrons. While NLS also has and always will provide hard copy braille materials, it will increasingly provide braille via digital means via new eReader technology, or refreshable braille devices. Currently, NLS is moving ahead with research and pilot programs to finalize the optimal eReader option available.

Central to NLS' modernization is a systematic IT and business practices renovation and overhaul. NLS' IT modernization is situated within the Library's IT centralization efforts. This entails a new partnership between the Office of the Chief Information Officer (OCIO) and NLS to manage, design, develop, test, and implement new IT systems across the spectrum of NLS services and to-be-replaced legacy systems. These systems include:

- PICS (Production Inventory Control System)
- PICS-2
- BARD (Braille and Audio Reading Download)
- PIMMS (Patron Information Machine Maintenance System)
- Braille Digitization Program
- NLDB-2 (Network Library Database)
- XESS-2 (an excess book redistribution management system)
- WebReads (a reader enrollment and circulation system)
- MARS-LM (the data management system for NLS data)

- AAA (a single sign-on system for all NLS systems)
- Duplication on Demand (which provides duplication services of audio books and magazine cartridges to network libraries)

These systems span the reach of NLS IT services (i.e., content delivery, content production, library systems, marketing and communications, customer service, and functional enablers). In addition, NLS is creating a new Modernization Office within the Office of the Deputy Director to oversee many of these initiatives

Integral to this future state is the new digital device for talking book delivery and the digital content delivery mechanism and funding. This next-generation system will feature audio (only) streaming, Braille and Audio Reading Download (BARD) connectivity, automatic Wi-Fi and hot spot searches, Voice User Interface (VUI), and Text to Speech (TTS) capabilities. The OCIO's continued efforts to move BARD to the cloud over the next three years is vital to the success of this new device. The new BARD will be cloud-based, scalable, and micro-targeted. Likewise, ensuring a cost effective means of

data delivery to these new devices is very important. NLS is conducting in-depth research on data delivery channels, quantity, and costs. Preliminary estimates are that once the new audio player is fully deployed – a process likely to take 5-7 years – NLS projects approximately 250,000 patrons requiring data connectivity, transmitting 120-135 terabytes of data per month, at a cost of about \$18 million per year.

Conclusion

All six of these areas of NLS modernization embody the Library's 2019-2023 Strategic Plan³ and NLS' own Directional Plan implementing that Master Plan. They focus on increasing the availability and discoverability of LOC materials, increasing access to those materials, elevating digital experiences, enhancing digital delivery, and modernizing services to patrons. By ensuring it is user centered, digitally enabled, and data driven, NLS continues to empower blind and print disabled Americans – Americans who, since 1931, have been able to *see* and *read* Jefferson's metaphorical library of memory, knowledge, and imagination - with the repository of human knowledge as seen in the Library's unparalleled collections.

³ https://www.loc.gov/static/portals/strategic-plan/documents/LOC_Strat_Plan_2018.pdf

APPENDIX N: Public Recommendations

Pursuant to the Good Accounting Obligation in Government Act, Pub. L. 115-414 (Jan. 3, 2019), the Library of Congress provides the following updates of open, public recommendations issued by the Government Accountability Office (GAO) and the Library of Congress Office of the Inspector General (OIG).

[Note: this chart relates to GAO or OIG reports issued prior to January 6, 2019. This chart reflects only the public recommendations from such reports that remain open at the time of this budget submission. Accordingly, the chart does not include any recommendations implemented by the Library and closed by the GAO or OIG, regardless of the report issue date. The Library does not have any “closed but unimplemented” recommendations to report.]

Report Number	Report Title	Rec #	Recommendation	Status
GAO-15-315 (issued Mar. 2015)	Library of Congress: Strong Leadership Needed to Address Serious Information Technology Management Weaknesses	17	Establish and implement an organization-wide policy for developing cost estimates that includes key practices as discussed in this report.	In Q2 FY2019, the expected date of completion was changed to Q4 FY2019. The Library updated its cost estimating spreadsheet template to include cost type definitions and categories based on the Library's Technology Business Management (TBM) model. The Library also updated its project cost documentation template that includes additional guidance for conducting a project cost estimate including a Monte Carlo quantitative risk analysis. The Library will be submitting examples of projects as evidence.
GAO-15-315 (issued Mar. 2015)		18	Establish a time frame for finalizing and implementing an organization-wide policy for developing and maintaining project schedules that include key practices as discussed in this report and finalize and implement the policy within the established time frame.	In Q2 FY2019, the expected date of completion was changed to Q4 FY2019. In order for the Library to demonstrate how agile projects can fulfill the spirit of GAO scheduling guidance, the Library facilitated a demonstration of a project as an example of agile implementation including a presentation of multiple agile project artifacts which were also submitted as evidence. GAO provided feedback on the evidence. The Library took corrective action to address GAO's feedback. Per agreement with GAO, the Library will provide a list of eight projects for GAO to choose from to verify the Library's implementation of scheduling best practices.
GAO-15-315 (issued Mar. 2015)		22	Conduct comprehensive and effective security testing for all systems within the time frames called for by Library policy, including assessing security controls that are inherited from the Library's information security program.	In Q2 FY2019, the expected date of completion was changed to Q4 FY2019. The Library met with GAO in September 2019 to discuss progress. Additionally, numerous documents were submitted as evidence. GAO then requested final versions of the Ongoing Authorization Strategy and Continuous Monitoring Dashboards from the Library. In September 2019, the Library submitted the evidence to GAO for their review.
GAO-15-315 (issued Mar. 2015)		30	Document and execute a plan for improving customer satisfaction with information technology services that includes prioritized improvement projects and associated resource requirements, schedules, and measurable goals and outcomes.	The Library completed draft written service improvement statements and continues requirements analysis to improve survey development, administration and reporting across all IT services. When completed, surveys will become the primary means of receiving and reporting customer feedback regarding service experience. Additional evidence submitted to GAO in October 2019.

Report Number	Report Title	Rec #	Recommendation	Status
GAO-16-355 (issued Apr. 2016)	Library Services for those with Disabilities: Additional Steps Needed to Ease Access to Services and Modernize Technology	1	To ensure that it provides all eligible populations access to its services and that its eligibility requirements are consistent with currently accepted practices, the Library of Congress should re-examine and potentially revise its requirement that medical doctors must certify eligibility for the NLS program for those with a reading disability caused by organic dysfunction.	NLS' commissioned study of the issue was completed in November 2017. The Library has decided to change now, and will be changing more comprehensively in the future, the process of certifying eligibility for people with a reading disability to ease access. The Library has requested, and Congress is considering, a legislative amendment to conform NLS' statute to the newly enacted section of copyright law, which expands the definition of "eligible person" for U.S. copyright exceptions relating to reproductions in accordance with the Marrakesh Treaty Implementation Act. If the NLS statute is amended, the Library plans to amend its regulations to adopt the new definition of "eligible person" and broaden the list of acceptable certifying authorities. These future developments are dependent on the Library's and NLS' information technology infrastructures having the capacity to handle increased demands for service. To study the actual impact of such changes, the Library has initiated a two-state pilot project (in Texas and Pennsylvania) with the results informing the current three-phase implementation plan. NLS has included funding requests in the FY20 budget to support the initial IT infrastructure upgrades. In the 10/16/19 letter to GAO, the Library requested this recommendation be closed.
GAO-16-355 (issued Apr. 2016)		3	To help it determine the most cost-effective approach for its next audio player, NLS should comprehensively assess the alternatives of designing its own specialized audio player versus providing commercially available players to its users	NLS continues to study the options of using a commercial product for the next generation of digital talking book device. NLS commissioned an in-depth evaluation of the feasibility of using commercial products and an analysis of existing solutions for usability, lifecycle costs, operations and maintenance effort, and durability. That recommendation (completed in November 2017) suggested commercial off the shelf (COTS) digital devices or locked-down smartphones with specialized software were feasible. NLS envisions a new paradigm for its next generation delivery system using COTS digital devices programmed with specialized software and using the emerging voice user interface technology. NLS has contracted for an evaluation of the effectiveness of using such devices and to what extent accessories (such as speakers and docking stations) would be required to meet patrons' needs. NLS is planning several additional projects to study acceptance, discoverability and usability of recommended devices and exploring options for data delivery to such devices (recognizing shifting costs from mail to internet with associated data delivery costs). NLS expects the results of this study by FY21. In the 10/16/19 letter to GAO, the Library requested this recommendation be closed.
OIG-2013-IT-105 (issued Feb 2015)	Maturity of System Development Life Cycle Processes and Procedures	4	Establish budget methodology to track project development costs and measure variances against approved costs.	In March 2019, the Library submitted project FTE cost variance reports for Q1 FY2019 to OIG for review and closure. Following meetings with OCIO and OIG, OIG is drafting additional clarification for OCIO's review and next steps. The estimated date of completion will be determined when the additional clarification from the OIG is received.

Report Number	Report Title	Rec #	Recommendation	Status
OIG-2014-IT-101 (issued Mar. 2015)	Design of Library-wide Internal Controls for Tracking Information Technology Investments	V.1.A	Align current cost development processes for IT investments to coincide with requirements for OMB reporting, such as the use of an earned value management system to track costs on high risk projects, as discussed in Capital Programming Guide, V.3 0, Supplement to OMB Circular A-11: Planning, Budgeting, and Acquisition of Capital Assets	OCIO has begun adopting selected sections of OMB guidance to eight Major IT Investments approved by the Technology Strategy Board (TSB). The OCIO's FY 2020 IT Finance Plan provides OCIO planned staff hour estimates for each major IT investment, along with planned non-personnel cost estimates. The first draft of the FY 2020 IT Finance Plan was published and distributed to the TSB. Finalization of the FY 2020 IT Finance Plan is within 30 days of FY 20 budget enactment to ensure the plan is synced with the Financial Services Directorate (FSD)'s spend plan lock process. Completion is subject to budget enactment.
OIG-2014-IT-101 (issued Mar. 2015)		V.1.B	Implementation of these practices may require procedural changes used by the service units for reporting expenditures and systemic modifications to the Library's financial system (Momentum) and budget system (Clarity) used for tracking costs.	OCIO worked with FSD to conduct quality reviews of FY 2018 data in Momentum and to extract data from its reporting systems to include FRS and LCBS. Quality review and adjustments of the FY 2018 data has been completed. The FY18 IT Expenditure (Obligation) Report is anticipated to be completed by the fourth quarter FY 2019. OCIO continues to work with FSD to conduct quality reviews of FY 2019 data. The estimated date of completion of improved financial tracking using a TBM tool is the fourth quarter of FY 2021.
OIG-2014-IT-101 (issued Mar. 2015)		V.2.C	Institute better tracking of IT investments through changes in Momentum and Clarity financial systems.	OCIO worked with FSD to conduct quality reviews of FY 2018 data in Momentum and to extract data from its reporting systems to include FRS and LCBS. Quality review and adjustments of the FY 2018 data has been completed. The FY18 IT Expenditure (Obligation) Report is anticipated to be completed by the fourth quarter FY 2019. OCIO continues to work with FSD to conduct quality reviews of FY 2019 data. The estimated date of completion of improved financial tracking using a TBM tool is the fourth quarter of FY 2021.

Report Number	Report Title	Rec #	Recommendation	Status
OIG-2014-PA-101 (issued Apr 2015)	The Library Needs to Determine an eDeposit and eCollections Strategy	1	To become more cost efficient and to ensure that eCollection activities are meeting the Library's strategic business objectives, the Library needs an overarching, transformative eCollections Strategy for collecting electronic works that: groups programs, projects, and other IT work together to facilitate effective portfolio management of activities related to collecting electronic works, including born-digital works; identifies the Library's organizational priorities related to these programs and projects and other IT work, makes investment decisions, and allocates resources accordingly, and focuses on meeting common requirements that span across the Library's service units	As reported in the OIG's March 2019 Semi Annual Report (SAR), this recommendation was under review by the OIG. The Library and OIG met on 9/30/19 to discuss next steps to achieve closure of the eDeposit and eCollections recommendations. The Library provided evidence of: (1) current Library of Congress Collections Policy Statements, which include digital assets and proof that digital collecting is part of overarching Library collections strategies; (2) the Digital Collecting Plan Targets, which include references to the Digital Collecting Strategy Framework and Digital Collecting Plan adopted in June and December of 2016, respectively, and provides the current status updates and revisions to targets as of August 2019; and (3) the updated Digital Collecting Plan matrix, which maps each target from the plan to a Library strategic objective and goal and tracks project completion. The Library will determine the extent to which existing documentation may be aligned with project management best practice guidance pursuant to recent OIG requests and will provide either concerns regarding adoption of such standards for this subject or supplemental documentation
OIG-2014-PA-101 (issued Apr 2015)		2	The Librarian should require the Architecture Review Board to: ensure that the eCollections Strategy and related activities are sufficiently addressed in the Enterprise Architecture's current or "as-is" environment, the target or "to-be" environment, and the roadmap leading from the "as-is" to the "to-be" environment, sufficiently address and reduce the risk of implementing duplicative, poorly integrated, and unnecessarily costly eCollection activities; and sufficiently address the need for "robust security" to prevent "loss, alteration, and unauthorized access" of eCollections items	In September 2019, the Library submitted IT strategic, IT planning processes and IT directional documentation as evidence to the OIG for closure

Report Number	Report Title	Rec #	Recommendation	Status
OIG-2014-PA-101 (issued Apr 2015)	The Library Needs to Determine an eDeposit and eCollections Strategy	4	The Librarian should take the following steps to implement better governance and accountability in order to ensure timely implementation of the Librarian's vision to acquire digital works, create a mechanism for the Librarian and his immediate leadership team to receive executive-level reports on a regular basis on eCollection activities, mandate their review, and take timely action as necessary to ensure that such activities stay in-line with the Librarian's vision and with senior leadership's cost schedule, and performance expectations; provide greater clarity on the role of the Executive Committee in monitoring and overseeing cross-cutting IT programs; and ensure the Executive Committee's consistent involvement, support, and oversight of the eDeposit Program and the eSerials Project.	As reported in the March 2019 SAR, this recommendation was under review by the OIG. The Library and OIG met on 9/30/19 to discuss next steps to achieve closure of the eDeposit and eCollections recommendations. The Library provided evidence of: (1) current Library of Congress Collections Policy Statements, which include digital assets and proof that digital collecting is part of overarching Library collections strategies; (2) the Digital Collecting Plan Targets, which include references to the Digital Collecting Strategy Framework and Digital Collecting Plan adopted in June and December of 2016, respectively, and provides the current status updates and revisions to targets as of August 2019; and (3) the updated Digital Collecting Plan matrix, which maps each target from the plan to a Library strategic objective and goal and tracks project completion. The Library will determine the extent to which existing documentation may be aligned with project management best practice guidance pursuant to recent OIG requests and will provide either concerns regarding adoption of such standards for this subject or supplemental documentation.
OIG-2014-PA-101 (issued Apr. 2015)		5	ITSC does not have the necessary data to align information technology goals, objectives, and priorities with the strategic needs and plans of the Library. The Librarian should do the following to correct this: direct the Chief Financial Officer (CFO) to provide information on the full universe of IT investments budgeted in each fiscal year for eCollection activities to the ITSC on an ongoing basis, as well as provide actual year-to-year costs for budget versus actual comparisons; require ITSC to formulate approval and monitoring criteria that align with the Library's organizational priorities as stated in an eCollections Strategy and associated enterprise architecture, as well as with common requirements spanning the Library's service units for ingesting and protecting electronic works; and require the chair of the ITSC to report regularly to the Librarian, his designee, and/or the EC about ITSC decisions and oversight issues related to the schedule, cost, and performance of eCollection activities.	As reported in the March 2019 SAR, this recommendation was under review by the OIG. The Library and OIG met on 9/30/19 to discuss next steps to achieve closure of the eDeposit and eCollections recommendations. The Library provided evidence of: (1) current Library of Congress Collections Policy Statements, which include digital assets and proof that digital collecting is part of overarching Library collections strategies; (2) the Digital Collecting Plan Targets, which include references to the Digital Collecting Strategy Framework and Digital Collecting Plan adopted in June and December of 2016, respectively, and provides the current status updates and revisions to targets as of August 2019; and (3) the updated Digital Collecting Plan matrix, which maps each target from the plan to a Library strategic objective and goal and tracks project completion. In addition, the Library submitted evidence in November 2018, to the OIG relating to the Library's ITIM processes and oversight boards. The Library will determine the extent to which existing documentation may be aligned with project management best practice guidance pursuant to recent OIG requests and will provide either concerns regarding adoption of such standards for this subject or supplemental documentation.

Report Number	Report Title	Rec #	Recommendation	Status
OIG-2014-PA-101 (issued Apr 2015)	The Library Needs to Determine an eDeposit and eCollections Strategy	6	To improve the organizational and financial management of its eCollection activities, the Librarian needs to require that service units: adopt and implement Library-wide best practices for standardizing program and project management to increase the likelihood of delivering effective digital transformations on time and on budget, and collect, track, and use quantitative data demonstrating variances in project delivery and investment targets to inform management oversight and reporting, including budget, planning, and investment decision-making going forward. This information should be used as part of the Library's performance management process	As reported in the March 2019 SAR, this recommendation was under review by the OIG. The Library and OIG met on 9/30/19 to discuss next steps to achieve closure of the eDeposit and eCollections recommendations. The Library provided evidence of (1) current Library of Congress Collections Policy Statements, which include digital assets and proof that digital collecting is part of overarching Library collections strategies, (2) the Digital Collecting Plan Targets, which include references to the Digital Collecting Strategy Framework and Digital Collecting Plan adopted in June and December of 2016, respectively, and provides the current status updates and revisions to targets as of August 2019, and (3) the updated Digital Collecting Plan matrix, which maps each target from the plan to a Library strategic objective and goal and tracks project completion. In addition, the Library submitted project full-time-equivalent cost variance reports for the second quarter of FY2019 to OIG in March 2019. The Library will determine the extent to which existing documentation may be aligned with project management best practice guidance pursuant to recent OIG requests and will provide either concerns regarding adoption of such standards for this subject or supplemental documentation.
OIG-2014-PA-101 (issued Apr. 2015)		7	For all technology investments, the Librarian should: (1) require service units and sponsors of significant IT investments (regardless of funding source) to complete a business case document that demonstrates how each IT project would meet organizational needs; outlines benefits, estimated costs, and risks, including the results of a cost-benefit analysis; and establishes a preliminary schedule for implementation; (2) require the business case document to be submitted to the ITSC for review during an early phase of product development and require the business case to be periodically reviewed and verified by ITSC with respect to the business need(s) being supported; (3) direct the CFO to develop the capability to fully project, capture, and track the actual costs of IT-related activities, including payroll costs; (4) and require the Strategic Planning Office or another unit to develop the capability for the Librarian and his immediate leadership team to monitor significant IT investments across the Library's various planning, budgeting, program/project management, and financial accounting systems to reveal inefficiencies and ineffectiveness in order to address problems in a timely manner	The Library established regulations, directives and standard forms to implement IT Investment Management across the Library as noted in the March SAR, which largely addressed this recommendation. The Library has updated its IT governance structure and workflows to include multi-year investment information, to improve lifecycle cost estimates, and to improve implementation scheduling. See also response to 2014-PA-101, recommendations 1, 4, 5, and 6

Report Number	Report Title	Rec #	Recommendation	Status
Annual Financial Audit Recommendations				
2018-FN-101	FY18 Financial Audit	1 NFR # 2018- F06-1 (mod- ified repeat of 2017- F06)	Complex Financial Reporting Process. Perform an analysis of current financial reporting processes to identify any complex processes that could be simplified or eliminated, to include an analysis on how transactions are reported in the financial reporting system. If the FSD does not have the bandwidth to perform such an analysis, it should consider hiring an outside consultant with expertise and knowledge of best practices in Federal financial reporting processes	The Library contracted for a review of chart of accounts in the legislative branch financial management system (LBFMS) and for uses for creation of financial reports, documentation of external financial reports, and map General Ledger accounts to reports. The contractors will provide analyses on methods to simplify Library processes by 7/31/20. The Library contracted for an analysis of its current financial reporting processes with the aim to streamline and gain efficiencies in accordance with Government best practices in the following areas: -investments. (Contract completed Q1 2019) -assets. (Library CFO Advisory Group created a team to address asset process.) -FEDLINK AP accrual. (In March 2019, the Library drafted a standard operating procedure to document processes and basis for using start date of order period of performance as the effective delivery point for serials and information retrieval services. A contractor validated that the "negative confirmation" method used by FEDLINK is a recognized accounting standard in October 2019. Actions completed) -GTAS -AWF -reports and schedules. Investments - see status of 2018-FN-101, 5 & 6. Assets and GTAS - ongoing, the Financial Reports Office (FRO) is performing a benchmark analysis with other agencies and currently reviewing results
2018-FN-101		2 NFR# 2018- F06-2 (mod- ified repeat of 2017- F06)	Complex Financial Reporting Process. Once financial reporting processes are reviewed and simplified, where possible, document all steps needed to report financial transactions in desk guides or procedures documents.	FRO documenting procedures as needed. Workflows are included in the contract identified in 2018-FN-101, 1.

Report Number	Report Title	Rec #	Recommendation	Status
2018-FN-101	FY18 Financial Audit	3 NFR# 2018- F06-3 (mod- ified repeat of 2017- F06)	Complex Financial Reporting Process. Perform an assessment of who should be performing the processes, such that procedures are pushed down to the lowest level feasible to allow for a detailed review below the management level, where possible.	<p>The Library contracted for an assessment of tasks to streamline processes and determine appropriate level for review. The contract will be completed and the contractor's assessment available for Library review on 7/31/20</p> <p>The Financial Services Directorate (FSD) staff completed competency assessments in mid-May 2019 and results were analyzed in mid-summer. FRO continues to review processes to document in standard operating procedures and desk guides and identify skill gaps and positions needed in FRO</p> <p>Vacancy announcements were posted for three accountants FSD anticipated completing the interviews by August 2019 with new hires in Q1 FY19</p> <p>FRO is reviewing over 700 tasks to identify the receiving agency /unit, accounting function and purpose of task The goal is to eliminate duplication and unnecessary tasks to gain efficiencies, identify alternative processes to streamline work, and to create clearly defined job descriptions by September 2019.</p>
2018-FN-101		4 NFR# 2018- F06-4 (mod- ified repeat of 2017- F06)	Complex Financial Reporting Process. Develop and establish high-level analytical procedures at the supervisor and manager level to facilitate the identification and correction of errors in financial reporting processes.	See the status for 2018-FN-101, 3 In addition, FSD received proposals for possible collaboration and task management tools

Report Number	Report Title	Rec #	Recommendation	Status
2018-FN-101	FY18 Financial Audit	5 NFR # 2018-F05-1 (modified repeat of 2017-F05 & 2016-F04)	Improper Reporting of Investment Gains and Losses. Establish and document procedures to record corrections, including prior-period corrections, in accordance with United States Standard General Ledger (USS-GL) guidance. The Library should use these procedures to ensure that corrections posted to the financial management system are properly reflected on the Balance Sheet, Statement of Changes in Net Position, and Statement of Budgetary Resources, as well as that current period results are not impacted by prior-period adjustments	<p>The Library contracted for an outside accounting firm to review the Library's investment processes and general ledger posting models for investments and to provide recommendations for a future state. The contract was completed in Q1 2019 and an internal team is working on implementation. The internal team is scheduled to complete clean up of investment posting models in Q4 2019.</p> <p>The Library is in the process of gathering benchmark information relating to best practices from other agencies.</p> <p>The Library has not been able to identify potential software tools available to streamline the process but will continue searching</p>
2018-FN-101		6 NFR # 2018-F05-2 (modified repeat of 2017-F05 & 2016-F04)	Improper Reporting of Investment Gains and Losses. Establish and document procedures to perform a quarterly reconciliation of non-Treasury investments to include reconciling all GL accounts related to investments and realized and unrealized gains and losses. As part of the quarterly reconciliation, Library personnel should compare the market value of investment per statements received from the financial institutions with the investment balance recorded in the financial system. Any difference noted in the market value should be recorded as an adjustment to the balance of GL account Market Adjustment - Investments and the unrealized gain or loss accounts. The Library should also use this reconciliation to ensure the appropriate historical cost and current market value amounts are recorded in memo accounts used to create the investment footnote that accompanies the financial statements and to ensure that current-period realized and unrealized gains and losses are properly reported on the financial statements.	<p>See above status for 2018-FN-101, 5.</p> <p>Comprehensive reconciliation is being worked on by FRO with estimated completion by Q4 2019.</p>

APPENDIX O:

Visitor Experience Initiative

Fiscal 2018 Funding and Planned Work

In fiscal 2018, the Library was appropriated an initial \$10 million; the first \$2 million was directed for the development of the Visitor's Experience Master Plan (VEMP). With Congressional approval of the Library's VEMP on September 19, 2019, the Library gained access to the remaining \$8,000,000 of no-year funding appropriated in fiscal 2018 and began to execute project plans. Thus, the Library is currently soliciting contracts to be awarded early in calendar year 2020 in the following four areas: 1) Treasures Gallery Exhibit Design and Audio Visual/Interactives Design and Production (\$2,200,000); 2) Orientation Gallery/Welcome Area Exhibit Design and Audio Visual/Interactives Design and Production (\$4,500,000); 3) Youth Center Experience Design Plan (\$300,000); 4) Project Scheduling/Critical Path (\$102,000).

Additionally, there are three NTE specialists (\$450,000) included for hiring this calendar year that will support three areas of the project. A Learning Specialist will support the Library's Center for Learning Literacy & Engagement; a Preservation Specialist will support the Conservation Division; and a Project Manager will support the Center for Exhibits & Interpretation.

All of these actions should result in approximately \$7,552,000 obligated from fiscal 2018 funding, the \$448,000 remaining will be applied to other items planned in 2020 discussed below.

Fiscal 2020 Funding and Estimated Work

The \$10,000,000 of no-year appropriated funding in fiscal 2020 is planned for the following efforts: 1) the Wayfinding Signage contract for the design, fabrication, and installation of the new wayfinding/signage package (\$2,000,000). The contracting documents are currently being developed by the Library's Exhibit Office; 2) The AOC's costs for design of the Orientation Gallery/Welcome, Treasures Gallery design and construction, Youth Center design (\$3,000,000). This effort will require a transfer of funding to AOC; 3) The design, layout and purchase of materials for the Cafe on 2nd Floor Mezzanine of Thomas Jefferson Building (TJB) (\$150,000); 4) The collections storage for artifact de-installation for the Kislak gallery and the Thomas Jefferson Library in the TJB (\$400,000).

The efforts described above will result in completed design documentation/drawing sets for the Treasures Gallery and the Orientation Gallery/Welcome Area. Once this work is completed follow-on contracts for the fabrication of those two spaces will commence, most likely in fiscal 2021. The three NTE's (\$450,000), Project Manager, Learning Specialist and Preservation Specialist will continue to support the project.

These actions will approximately obligate \$5,600,000 of the fiscal 2020 funding with \$4,400,000 remaining that will be integrated into the planned work for fiscal 2021 and out.

Fiscal 2021 Funding and Estimated Work

With full design documentation and drawing sets completed, the Library anticipates being able to proceed with the following contracts: 1) Treasures Gallery fabrication (estimated \$7,500,000); 2) Youth Center Exhibit Design & Audio Visual/Interactives Design and Production (\$1,987,200); 4) AOC construction of the Orientation Gallery/Welcome Area (estimated at \$12,640,000).

The three NTE's (\$450,000), Project Manager, Learning Specialist and Preservation Specialist will continue to support the project. Thus, funding estimates required for fiscal 2021 are approximately \$22,577,200. Assuming the \$10,000,000 appropriated in 2020 does not non-recur until fiscal 2023 there would be \$14,400,000 remaining. Currently it is estimated that private fundraising would total approximately \$12,500,000 which could be applied to fiscal 2021 or fiscal 2022 work depending on funding flow and project progress.

Fiscal 2022 Funding and Estimated Work

Assuming the \$10,000,000 appropriated in fiscal 2020 recurs through fiscal 2022 and private fundraising stays and the project progress remains on track, the Library estimates proceeding with the following contracts: 1) Orientation Gallery/Welcome Area Exhibit fabrication (\$10,000,000); 2) Youth Center fabrication (\$4,631,800); 3) AOC construction for Youth Center (\$2,800,000).

The three NTE's (\$450,000), Project Manager, Learning Specialist and Preservation Specialist will continue to support the project. Based on this schedule the estimated funding required for this fiscal year is approximately \$17,431,800. Thus, the estimated private fundraising needed will be approximately \$7,500,000 in fiscal 2022.

APPENDIX P: Advertising

The total obligations for fiscal 2019 for Advertising Services was approximately \$6.7 million. Most of the advertising services was embedded in one advertising contract for the National Library Service for the Blind and Print Disabled of \$5.7 million. Some contracts fell into multiple categories, i.e. a woman owned business could also be a minority owned business. This created some overlap across the four categories. For example, large portions of the advertising services contracts could be classified in two categories – a Socially & Economically Small Business and also a Minority-owned Business.

Below is a table that summarize the results.

Library of Congress Fiscal 2019 Contracts for Advertising Services	Total Obligations	Socially & Economically Disadvantaged Small Business	Minority-owned Business	Women-owned Business	All other businesses
	\$6,659,636	\$5,777,679	\$5,792,718	\$51,258	\$816,610
Percent of Total 2019 Obligations		86.8%	87.0%	0.8%	12.3%

Background

This appendix is intended to provide advertising services contracts information as per the direction in the fiscal 2020 House Report 116–64. Specifically too include a section in the fiscal 2021 CBJ listing the Library’s fiscal 2019 advertising services contracts in accordance with the below guiding language:

Advertising Contracts: The Committee directs each department and agency to include the following information in its fiscal year 2021 budget justification: Expenditures for fiscal year 2019 for (1) all contracts for advertising services; and (2) contracts for the advertising services of (I) socially and economically disadvantaged small business concerns (as defined in section 8(a)(4) of the Small Business Act (15 U.S.C. 637(a)(4))); and (II) women- and minority owned businesses.

Advertising Services Contracts

The following charts summarize the Library’s advertising services contracts in terms of total obligations as one or more of the following businesses.

- a. All contracts for advertising services – total obligations
- b. Socially and economically disadvantaged small business concerns - obligations
- c. Minority-owned businesses - obligations
- d. Women-owned businesses – obligations

The below table displays the criteria used in determining the scope of advertising services:

Advertising agencies	Creating advertising campaigns and placing advertising in periodicals, newspapers, radio and television, or other media.
Public relations firms	Designing and implementing public relations campaigns designed to promote the interests and image of their clients. Includes PR consulting.
Outdoor advertising	Creating and designing public display advertising, including indoor or outdoor billboards and panels and retail (in-store) displays.

Direct mail advertising	Creating advertising campaigns to distribute keychains, magnets, pens etc. by mail or other direct distribution. May also compile, maintain, sell, and rent mailing lists.
Advertising material distribution services	Direct distribution of advertisements (e.g., circulars, coupons, handbills) or samples.
Other services related to advertising	Advertising services not listed above such as providing keychains, magnets, pens, sign lettering and painting.
Marketing research and public opinion polling	Gathering, recording, tabulating, and presenting marketing and public opinion data. Also broadcast media rating; marketing analysis or research; statistical sampling; opinion research.
Commercial printing (of advertising materials)	Note that ISS Print Management Services may contract out print jobs to commercial establishments.
Recruitment	Advertising to support recruitment
Customer service	Providing information to users of agency services
General information; public education and awareness	Keeping the public informed of agency activities
Communications media training	Training of agency personnel to deal with media and media responses
Advertising media	Defined in OMB Circular No. A-122 as magazines, newspapers, radio and television, direct mail, exhibits, and electronic or computer transmittals
PR - media technologies used to facilitate communications with the public	Any contract costs associated with media technologies including e-mail, websites, blogs, text messaging, and social media such as Facebook

The below definitional guidelines were adhered to in the determination of the advertising services for the requested categories:

a. Socially and economically disadvantaged small business concern:

Any small business concern which is at least 51 percent unconditionally owned by one or more socially and economically disadvantaged individuals, an economically disadvantaged Indian tribe or an economically disadvantaged Native Hawaiian organization.

b. Women-owned businesses - Businesses of all sizes that are at least 51 percent owned by one or more women and whose management and daily business operations are controlled by one or more women.

c. Minority-owned businesses - Businesses of all sizes that are at least 51 percent owned by one or more members of a minority group.

APPENDIX Q:
Non-Recur Schedule

Library of Congress
Programmatic Increase
Funding Chronology - Non-Recur Schedule
(Dollars in Thousands)

Fiscal Year Appropriation Chronology for Programmatic Increase Requests														
Request	FY	Amount	Funding Provided			Non-Recur*								
			2018	2019	2020	2019	2020	2021	2023	2024	2025	2026	2031	
Programmatic Increase													Ongoing Funding	
CBS Integrated Research Information System (IRIS)	2018	4,000	4,000								(4,000)		0	
OCFO System Improvements and Standardization of LBFMS	2019	1,133		1,133							(750)		383	
Law Library Strengthening Capacity - Digitization Effort	2019	823		823							(96)		327	
Termination of Law Library GLIN Offsetting Collection Program	2019	350		350			(350)						0	
Copyright Office Modernization Enterprise Solution	2019	12,121		12,121							(6,709)		5,412	
Copyright Office Searchable Historic Records	2019	5,000		5,000								(5,000)	0	
Copyright Office Public Records and Recordation	2019	1,100		1,100					(1,100)				0	
Copyright Office Warehouse Move Preparation	2019	1,328		1,328				(325)	(1,003)				0	
Enriching the Visitors Experience	2020	10,000			10,000						(10,000)		0	
OCFO Optimization & Modernization	2020	3,862			2,744						(400)		1,694	
Congress.gov Enhancements	2020	3,617			3,067								3,067	
IT Network Security	2020	7,000			5,000								5,000	
BARD Infrastructure Modernization	2020	5,000			5,000						(4,560)		440	
Braille eReader & Digital Talking Book Machine	2020	2,375			2,375							(2,375)	0	
Total, Programmatic Increases			57,709	4,000	21,855	28,186	(350)	(325)	(2,753)	(19,406)	(7,109)	(2,375)	(5,000)	16,323

*Fiscal Year's displayed only when non-recurs are apparent.

ARCHITECT OF THE CAPITOL - LIBRARY BUILDINGS & GROUNDS

Overview

The Architect of the Capitol (AOC) manages the Library Buildings and Grounds (LB&G) jurisdiction and is responsible for the lifecycle operations, maintenance, development, and stewardship of the Library of Congress (LOC) facilities and surrounding grounds. The Jurisdiction's real property assets include the Thomas Jefferson (TJB), John Adams (JAB), and James Madison Memorial (JMMB) Buildings on Capitol Hill; the Packard Campus for Audio-Visual Conservation in Culpeper, Virginia; the Library Collections Storage Facilities on the 100-acre campus at Ft. Meade, Maryland; and, other leased facilities.

Fiscal 2021 Library Buildings & Grounds Budget Request –

\$111.193 million

Operating Budget:

\$32.393 million

The Operating Budget of the LB&G appropriation funds all costs associated with the daily care, maintenance and operation of the LB&G.

Capital Investment Multi-Year Projects:

\$78.800 million

The Capital Investment Multi-Year Project Budget request consists of major construction or system replacement requirements to address fire, life-safety and security issues; deferred maintenance; capital renewal, capital improvement, capital construction, and necessary studies and designs, including efforts to achieve energy savings. It also includes Minor Construction funding that provides jurisdictions with the flexibility to respond to unforeseen requirements. Projects include the following.

Collection Storage Module 7, Ft. Meade

[\$41.500 million]

For the construction of additional permanent storage space at the LOC's Ft. Meade campus, Collections Storage Module 7, to alleviate the shortage of collection capacity on Capitol Hill. The project will allow for the long-term preservation of collections by constructing a climate controlled, secure, non-leased storage facility.

Performing Arts Reading Room Renovation, JMMB

[\$9.700 million]

This project will provide various upgrades for the consolidation and reconfiguration of the existing spaces, including removal of obsolete equipment, modification of entrance door hardware to remove accessibility barriers, replacement of existing finishes (floors, walls, ceilings) and creation of expanded storage and a multipurpose training and conference room space.

Stained Glass Window Repairs, Northeast, East, Southeast Windows, TJB

[\$8.900 million]

The original eight stained glass, semi-circular windows of the TJB Main Reading Room have not been comprehensively restored in their 121 year history. This project will renovate and restore the Main Reading Room windows through a complete removal and cleaning process that conserves historic qualities.

Sixth Floor Terrace, JMMB

[\$8.600 million]

This project will remove the sixth floor terrace roofing, membrane, insulation, and decking, and replace with new more durable materials for a longer lifespan.

Rain Leader Replacement, JAB

[\$2.100 million]

Approximately 75 percent of the JAB deteriorating rain leaders were replaced prior to 2014. This project is to replace the remaining 25 percent of rain leader pipes original to the building's construction. These pipes are severely damaged and subject to active leaks on a regular and recurring basis.

Exterior Masonry and Envelope Repairs, JAB

[\$2.000 million]

Stone joints on the façade of the JAB are open and existing sealant is not bonded to the stone. The project will repoint and clean the entire building; repair the spalled stone at the upper levels and parapet wall; replace the sealant around all windows; clean all window frames, replace corroded steel shelf angles, and provide control joints in the facade as needed to prevent shifting. It will also repair and clean south facing stairs and walls along Pennsylvania Avenue, repair roof and parapet walls of the 5th floor setback, and repoint brick walls at the moat.

West Main Pavilion, Exit Stair G, TJB

[\$2.000 million]

The project will provide adequate exit capacity, bring into compliance with National Fire Protection Association (NFPA) 1010 Life Safety Code and address an Office of Congressional Workplace Rights citation regarding these egress deficiencies. It will increase available exit capacity of the building, provide a code compliant means of egress from the TJB attic and decrease excessive travel distances by providing new code compliant exit stairs in the southwest courtyard. It will also construct fire-rated exit passageways, a fire-related enclosure and a cellar exit.

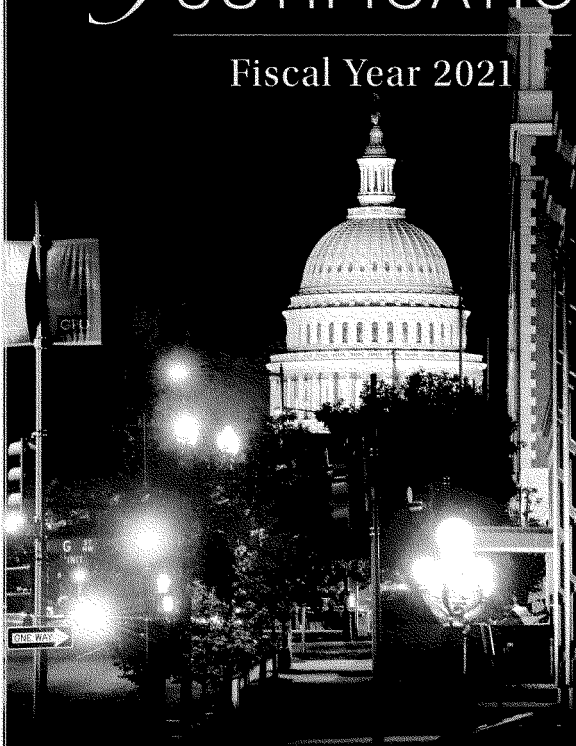
Minor Construction

[\$4.000 million]

An additional \$500K is requested from the previous year to better address deferred maintenance and meet the unforeseen facilities architectural needs that arise over the course of a year

BUDGET JUSTIFICATION

Fiscal Year 2021



GPO

U.S. GOVERNMENT PUBLISHING OFFICE
Keeping America Informed | OFFICIAL | DIGITAL | SECURE

HUGH N. HALPERN

Director of the U.S. Government Publishing Office



January 28, 2020

The Honorable Tim Ryan
Chairman
Subcommittee on Legislative Branch
Committee on Appropriations
U.S. House of Representatives
Washington, DC 20515

The Honorable Cindy Hyde-Smith
Chairman
Subcommittee on Legislative Branch
Committee on Appropriations
United States Senate
Washington, DC 20510

Dear Chairman Ryan & Chairman Hyde-Smith:

I have the honor to transmit herewith the appropriations request of the United States Government Publishing Office (GPO) for Fiscal Year 2021.

Strategic Outlook GPO continues to transform itself from a print-centric to a content-centric publishing operation in this age of digitization. This process is consistent with the recommendations submitted by the National Academy of Public Administration to Congress (*Rebooting the Government Printing Office: Keeping America Informed in the Digital Age*, January 2013) regarding GPO's transition to a digital future. In recognition of this transition, Congress changed our name in 2014 (P.L. 113-235) from the Government *Printing* Office to the more forward-looking Government *Publishing* Office.

In FY 2021 and beyond, GPO will continue to develop an integrated, diversified product and services portfolio that focuses primarily on digital. Although industry experts predict tangible print products will continue to be needed to fulfill official-use, archival, authentication, and industry-specific requirements – and to serve those segments of the population with limited or no access to digital formats – we recognize that the use of print products will decline relative to the growth in the provision of and access to digital formats.

In transforming the way we do business, GPO is focusing on managing content for customer and public use both today and tomorrow. GPO applies its extensive experience and expertise with digital systems to provide both permanent public access to Government information in a variety of formats and the most efficient means for printing such information when required, all within a secure setting that is responsive to the customer's needs. GPO's Strategic Plan has been developed to carry out this vision and is available for public inspection at <https://www.gpo.gov/who-we-are/our-agency/mission-vision-and-goals>.

HUGH N. HALPERN

Director of the U.S. Government Publishing Office



FY 2021 Appropriations Request As part of the Fiscal Year 2021 Legislative Branch Appropriations bill, we are requesting funding for our Congressional Publishing account, Public Information Programs of the Superintendent of Documents account, and as an addition to working capital in GPO's Business Operations Revolving Fund. Together, the Congressional Publishing and Public Information Programs accounts fund GPO's provision of congressional information products and services as authorized by law, and our provision of public access to congressional and other Government information products through statutorily-authorized information dissemination programs.

All other GPO programs and activities – including the production of U.S. passports for the Department of State and secure credentials for other Federal agencies, the production and procurement of other information products and services for Federal agencies, the sales of Government information products and services to the public, and related operations – are financed on a reimbursable basis through GPO's Business Operations Revolving Fund. Our FY 2021 appropriations request includes funding as an addition to working capital for specified projects under the Business Operations Revolving Fund.

GPO is requesting a total of \$117,000,000 for FY 2021. This is the same overall level of funding GPO requested in FY 2020, and the same amount appropriated in FY 2020. Through FY 2020, total GPO appropriations have declined by 21% since FY 2010, and the FY 2021 request marks the 6th consecutive year in which GPO has requested either flat or declining annual appropriations.

GPO's continued transition to digital technologies and products has increased our productivity and reduced our costs. Additionally, maintaining financial controls on our overhead costs, coupled with a buyout in FY 2015 that reduced GPO's workforce by 103 positions, has helped make this year's flat funding request possible. Finally, the utilization of the unexpended balances of prior-year appropriations, which we are able to transfer to GPO's Business Operations Revolving Fund with the approval of the Appropriations Committees, has made it possible in recent years to hold the line on the level of new funding we request from Congress.

**Total Appropriations to GPO
FY 2010-2020 and FY 2021 Request**

<u>Fiscal Year</u>	<u>Appropriation</u>
2010	\$147,461,000
2011	135,067,324
2012	126,200,000
2013	117,533,423
2014	119,300,000
2015	119,993,000
2016	117,068,000
2017	117,068,000
2018	117,068,000
2019	117,000,000
2020	117,000,000
2021	117,000,000 (Requested)

HUGH N. HALPERN
Director of the U.S. Government Publishing Office



Our FY 2021 request will enable us to:

- meet projected requirements for congressional publishing;
- fund the operation of the public information programs of the Superintendent of Documents; and
- develop information technology including IT cybersecurity measures that support congressional publishing and public information programs operations.

Congressional Publishing Appropriation GPO is requesting \$78,000,000 for the Congressional Publishing account in FY 2021. This request is \$1,000,000 less than requested in GPO's FY 2020 budget submission for the Congressional Publishing account, and \$1,000,000 less than Congress appropriated in FY 2020.

Overall, the annual appropriations for Congressional Publishing have been flat since FY 2014 and have declined by nearly 17% since FY 2010 as the result of our continuing transition to digital technology and products, as well as actions taken in cooperation with the House of Representatives and the Senate to control congressional publishing costs. Unspent prior-year balances from this account that have been transferred to GPO's Business Operations Revolving Fund are available for the purposes of this account.

**Congressional Publishing Appropriation
FY 2010-2020 and FY 2021 Request**

<u>Fiscal Year</u>	<u>Appropriation</u>
2010	\$93,768,000
2011	93,580,464
2012	90,700,000
2013	82,129,576
2014	79,736,000
2015	79,736,000
2016	79,736,000
2017	79,736,000
2018	79,528,000
2019	79,000,000
2020	79,000,000
2021	78,000,000 (Requested)

House Report 114-110, accompanying the Legislative Branch Appropriations bill for FY 2016, requires the presentation of budget requirements from a zero base. However, GPO has no control over the workload requirements of the Congressional Publishing Appropriation. These are determined by the legislative activities and requirements of the House of Representatives and the Senate as authorized by the applicable provisions of Title 44, U.S.C. GPO utilizes historical data incorporating other relevant factors to develop estimates of likely congressional publishing requirements. These requirements are used as the basis of the budget presentation for this account.

We currently estimate that Congressional Publishing workload volumes will likely decline by about \$155,000 in FY 2021 from FY 2020 levels, but we also expect price-level and wage

HUGH N. HALPERN
Director of the U.S. Government Publishing Office



increases (if implemented) to increase expenses to the Congressional Publishing account by an additional \$2,500,000. In order to accommodate the net cost increase, and to reduce the FY 2021 Congressional Publishing request by \$1,000,000 from FY 2020, GPO plans to use about \$6,000,000 of prior-year transfer funds in GPO's Business Operations Revolving Fund to support its Congressional Publishing work in FY 2021.

As shown on page D-4 of our budget justification for FY 2021, unexpended balances of prior-year appropriations that have been transferred to GPO's Business Operations Revolving Fund will be used to offset anticipated requirements for FY 2021. The balance of these funds is earmarked for GPO's critically important Composition System Replacement (CSR)/XPub project. This initiative involves the development of an XML-based composition system to replace our 30+ year-old Microcomp system, which is used in the preparation of congressional documents for digital and print access, and other congressional information projects as indicated on page F-6.

Public Information Programs of the Superintendent of Documents GPO is requesting \$32,300,000 for this account, which is an increase of \$1,004,000 from the amount GPO requested, and Congress appropriated, in FY 2020. This account pays for the cost of providing Federal Government publications in digital and tangible formats to 1,124 Federal depository libraries nationwide, cataloging and indexing, the distribution of documents to recipients designated by law, and international exchange distribution.

This appropriation request represents a nearly 21% reduction from the amounts appropriated in FY 2010. This reduction has been made possible by our continuing transition to digital technology and products which has made the increased dissemination of official Government information to the public less costly and more efficient.

**Public Information Programs of the
Superintendent of Documents Appropriation
FY 2010-2020 and FY 2021 Request**

<u>Fiscal Year</u>	<u>Appropriation</u>
2010	\$40,911,000
2011	39,831,178
2012	35,000,000
2013	31,437,000
2014	31,500,000
2015	31,500,000
2016	30,500,000
2017	29,500,000
2018	29,000,000
2019	32,000,000
2020	31,296,000
2021	32,300,000 (Requested)

The net funding increase of \$1,004,000 we are requesting for FY 2021 is comprised of mandatory pay and related increases of about \$501,000 and price-level increases of \$503,000. In addition, the approved use of prior-year transfer funds will cover \$4,063,000 of program/project/activity costs in FY 2021. Such program costs relate to the implementation of

HUGH N. HALPERN

Director of the U.S. Government Publishing Office



the Salesforce customer relations management (CRM) system (\$1,200,000); the potential development of a web-portal envisioned by the pending Congressionally Mandated Reports Act, H.R. 736 (\$1,000,000); the digitization, processing, and cataloging of historic documents for ingest into **govinfo** (\$1,000,000), and national collection pilot projects for FDLP libraries.

The requested amount is based on the outcome of using zero-based budgeting to determine the proper levels of funding needed to perform program activities at minimum levels, as directed by House Report 114-110. GPO plans to utilize carry-over balances from funds transferred to the Business Operations Revolving Fund to support high-priority information services and products funded by this account as indicated on page F-6, including the collection and preservation of new and historic documents and the continued development of **govinfo** content and capabilities.

Business Operations Revolving Fund GPO is requesting \$6,700,000 for this account, to remain available until expended, to support continued investment in information technology and cybersecurity projects. This compares with the \$6,704,000 GPO requested, and Congress appropriated, for these same purposes in FY 2020. Funding provided to this account represents an increase to working capital for specified projects.

Since FY 2013, these projects have consistently included improvements to GPO's FDsys website and its successor **govinfo**, which have expanded public access to congressional and other Government information products in digital formats while decreasing the costs of distributing traditional print formats. They have also included efforts to harden and secure GPO's IT infrastructure from persistent external cybersecurity threats.

**Appropriations to the Business Operations Revolving Fund
FY 2010-2019 and Requested for FY 2020**

<u>Fiscal Year</u>	<u>Appropriation</u>
2010	\$12,782,000
2011	1,655,682
2012	500,000
2013	3,966,847
2014	8,064,000
2015	8,757,000
2016	6,832,000
2017	7,832,000
2018	8,540,000
2019	6,000,000
2020	6,704,000
2021	6,700,000 (Requested)

Govinfo Projects for FY 2021 – \$6,550,000

- **General System and Collection Development (\$3,500,000)** – This funding is requested to support the development of new **govinfo** features to meet the identified needs of key stakeholders. Activities funded would include developing new content collections, increasing content in existing collections, enhancing the accessibility of content, and improving the discoverability of information hosted on **govinfo**.

HUGH N. HALPERN

Director of the U.S. Government Publishing Office



- **Infrastructure (\$3,050,000)** – This funding is requested to support the procurement and servicing of the hardware, storage, and environments needed to manage system performance as **govinfo** content and usage continues to grow.

Cybersecurity Projects for FY 2021 – \$150,000

- **Security Enhancements for Advanced Persistent Threat (\$150,000)** – The cybersecurity threat environment faced by Government agencies continues to change rapidly and presents substantive risks and dangers to organizations. The requested funding is planned to address that evolving threat environment by implementing enhanced IT security systems that are intended to reduce the risk of unauthorized data exfiltration, unauthorized access, unauthorized changes to data, and related impacts.

Chairman Ryan and Chairman Hyde-Smith, we look forward to working with you and your Subcommittees in your consideration of our appropriations request for Fiscal Year 2021.

Sincerely,

A handwritten signature in black ink, appearing to read "Hugh N. Halpern", followed by a long horizontal line.

HUGH NATHANIAL HALPERN
Director

Enclosure

cc:

The Honorable Chris Murphy
Ranking Member
Senate Appropriations Subcommittee on Legislative Branch

The Honorable Jaime Herrera Beutler
Ranking Member
House Appropriations Subcommittee on Legislative Branch

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Executive Summary and Results of FY 2019 Operations

The U.S. Government Publishing Office (GPO), a legislative branch agency, is the OFFICIAL, DIGITAL, SECURE resource for producing, procuring, cataloging, indexing, authenticating, disseminating, and preserving the official information products of the Federal Government.

Under Title 44 of the U.S. Code, GPO is responsible for the production and distribution of information products for all three branches of the Government, including the official publications of Congress and the White House, U.S. passports for the Department of State, and the official publications of other Federal agencies and the courts. Once primarily a printing operation, we are now an integrated publishing operation and carry out our mission using an expanding range of digital as well as conventional formats. In 2014, Congress and the President recognized this change in P.L. 113-235, which contains a provision re-designating GPO's official name as the Government Publishing Office. As of September 30, 2019, GPO employed 1,662 staff.

Along with sales of publications in digital and tangible formats to the public, we support openness and transparency in Government by providing permanent public access to Federal Government information at no charge through **govinfo** (www.govinfo.gov), the successor system to the Federal Digital System (FDsys), which was retired in December 2018. Today, **govinfo** makes more than 2.6 million Federal titles available and averaged approximately 34 million retrievals per month in FY 2019. GPO also provides public access to Government information through partnerships with 1,124 Federal, academic, public, law, and other libraries nationwide participating in the Federal Depository Library Program (FDLP).

In addition to our website, www.gpo.gov, we communicate with the public routinely via Facebook at facebook.com/USGPO, Twitter at twitter.com/USGPO, YouTube at youtube.com/user/gpoprinter, Instagram at instagram.com/usgpo, LinkedIn at linkedin.com/company/u.s.-government-printing-office, and Pinterest at pinterest.com/usgpo.

History From the Mayflower Compact to the Declaration of Independence and the papers leading to the creation and ratification of the Constitution, America is a nation based on documents, and our governmental tradition since then has reflected that fact. Article I, section 5 of the Constitution requires that “each House shall keep a journal of its proceedings and from time to time publish the same,” establishing Congress's informing mission that GPO carries out. After years of struggling with various systems of contracting for printed documents that were beset with scandal and corruption, in 1860 Congress created the Government Printing Office as its official printer. GPO first opened its doors for business on March 4, 1861, the same day Abraham Lincoln was inaugurated as the 16th President.

Since that time, GPO has produced and distributed the official version of every great American state paper and an uncounted number of other Government publications, documents, and forms. These documents include the Emancipation Proclamation, the legislative publications and acts of Congress, Social Security cards, Medicare and Medicaid information, census forms, tax forms, citizenship forms, passports, military histories ranging from the *Official Records of the War of the Rebellion* to the latest accounts of our forces in Afghanistan, the 9/11 Commission Report, Presidential inaugural addresses, and Supreme Court opinions. This work goes on today, in digital as well as print formats.

Strategic Vision GPO continues to transform itself from a print-centric to a content-centric publishing operation. This process is consistent with the recommendations submitted by the

National Academy of Public Administration to Congress (*Rebooting the Government Printing Office: Keeping America Informed in the Digital Age*, January 2013) regarding our transition to a digital future.

GPO continues to develop an integrated, diversified product and services portfolio that focuses primarily on digital. At the same time, we recognize that some tangible print will continue to be required because of official use, archival purposes, authenticity, specific industry requirements, and segments of the population that either have limited or no access to digital formats, though its use will continue to decline relative to the continued growth in the provision of and access to digital formats.

Strategic Plan Our strategic plan, which is available for public review at <https://www.gpo.gov/who-we-are/our-agency/mission-vision-and-goals>, is built around four goals: satisfying our stakeholders, offering products and services, strengthening our organizational foundation, and engaging our workforce. The plan provides the blueprint for how GPO will continue to achieve its mission of *Keeping America Informed* with an emphasis on being OFFICIAL, DIGITAL, SECURE. GPO's senior managers convene at the beginning of each fiscal year to review the plan and approve it before it is issued.

Our customers are involved in the digital world and understand technological change. Accordingly, it is important that we foster an environment that embraces change and innovation, which leads to new ways of thinking, new work processes, and the development of new products and services for our customers. Tangible printing at GPO is being supplanted by an exponential growth in digital requirements by Congress and Federal agencies. Moreover, the public — including the library and Government information user communities — has signaled its strong desire for increased digital access to Government information.

In transforming the way we do business, we are focusing on managing content for customer and public use both today and tomorrow. GPO uses its extensive experience and expertise with digital systems to provide both permanent public access to Government information in a variety of formats and the most efficient and effective means for printing when required, all within a secure setting that is responsive to the customer's needs.

Technology Transformation GPO has transformed itself throughout its history by adapting to changing technologies. In the ink-on-paper era, this meant moving from hand-set to machine typesetting, from slower to high-speed presses, and from hand to automated bookbinding. These changes were significant for their time.

Yet those changes pale by comparison with the transformation that accompanied our incorporation of electronic information technologies, which began in 1962 when the Joint Committee on Printing directed the agency to implement a new system of computer-based composition. That order led to the development of GPO's first electronic photocomposition system, which by the early 1980's had completely supplanted machine-based hot metal typesetting. Following the enactment of the GPO Electronic Information Access Enhancement Act in 1993 (P.L. 103-40), the databases generated by our composition system were uploaded to the internet via GPO's first website, *GPO Access*, vastly expanding the agency's information dissemination capabilities. In 2009, GPO replaced the original *GPO Access* site with its Federal Digital System, or FDsys. FDsys was formally retired in December of 2018 with a new site, **govinfo**, which offers significantly enhanced functionality, taking its place.

While transforming to an increasingly digital footing, we continue to provide an array of printing services to support the needs of Congress, Federal agencies, and the public, and we are retooling our print operations to take advantage of the efficiencies provided by modern equipment.

In FY 2015, we put into operation our zero make-ready (ZMR) press to support congressional and Federal agency publishing requirements, and as a result were able to reduce the cost of producing congressional hearings. In FY 2016, we installed a new perfect binding line to increase the speed and reduce the cost of binding operations. In FY 2019, we completed a multi-year effort to replace the large, comparatively inefficient newspaper presses used to produce the *Congressional Record* and the *Federal Register* with smaller, more flexible digital presses. This acquisition will enable GPO to reduce paper waste in the production of these publications from over 35 percent to just 2-3 percent – a considerable production cost savings. We are continually reviewing product and equipment options to ensure that our publishing activities are conducted with the best technologies available.

As a result of these sweeping technology changes — digital products, equipment, and processes — GPO is now fundamentally different from what it was as recently as a generation ago. It is smaller, leaner, and equipped with digital production capabilities that are the foundation of the information systems relied upon daily by Congress, Federal agencies, and the public to ensure open and transparent Government in the digital era. As we prepare for the Government information environment and technology challenges of the future, our transformation is continuing with the development of new ways for delivering Government information.

GPO and Congress

For the Clerk of the House, the Secretary of the Senate, and the committees of the House and the Senate, GPO publishes the documents and publications required by the legislative and oversight processes of Congress in digital and tangible formats. This includes the daily *Congressional Record*, bills, reports, legislative calendars, hearings, committee prints, and documents, as well as stationery, franked envelopes, memorials and condolence books, programs and invitations, phone books, and the other products needed to conduct the business of Congress. We produce all the printing work required every four years by the Joint Congressional Committee on Inaugural Ceremonies. We also detail expert staff to support the publishing requirements of House and Senate committees and congressional offices such as the House and Senate Offices of Legislative Counsel. We work with Congress to ensure the provision of these services under any circumstances, including emergency weather and other conditions.

Today the activities associated with creating congressional information databases comprise the majority of the work funded by GPO's annual Congressional Publishing Appropriation. Our advanced digital authentication system, supported by public key infrastructure (PKI), is an essential component for assuring the digital security of congressional publications. The databases we build are made available for providing access to congressional publications in digital formats as well as their production in tangible formats.

GPO's congressional information databases also form the building blocks of other information systems supporting Congress. For example, they are provided directly to the Library of Congress to support its **Congress.gov** system as well as the legislative information systems the Library makes available to House and Senate offices. We work with the Library to prepare summaries and status information for House and Senate bills in XML bulk data format. We also work with the Library on a variety of digital projects supporting Congress to make

congressional information more widely accessible, including the digitization of historical issues of the *Congressional Record*, a project which was completed in 2018.

GPO Cuts the Cost of Congressional Work GPO's use of electronic information technologies has been the principal contributor to lowering the cost, in real economic terms, of congressional information products. In FY 1980, as GPO replaced hot metal typesetting with electronic photocomposition, the appropriation for Congressional Publishing was \$91.6 million, the equivalent in today's dollars of \$310.4 million. By comparison, our approved funding for FY 2020 is \$79.0 million, a reduction of about 75% in constant-dollar terms.

Since 2010, we have achieved a 29% reduction in the constant-dollar value of the Congressional Publishing Appropriation, consistent with the continuing transformation of our technology profile, the control of costs, and collaboration with Congress in carrying out measures reducing print distribution in meeting the information needs of the Senate and House of Representatives.

Annual appropriations for Congressional Publishing have been at or below \$79.7 million in each year FY 2014-20.

**Congressional Publishing Appropriation
FY 1980-2020**

<u>Fiscal Year</u>	<u>Appropriation</u>	<u>In Constant Dollars</u>
1980	\$ 91.6 million	\$ 310.4 million
1985	94.0 million	229.6 million
1990	74.1 million	151.5 million
1995	84.7 million	145.6 million
2000	73.3 million	112.0 million
2005	88.1 million	118.6 million
2010	93.8 million	111.5 million
2015	79.7 million	86.8 million
2020	79.0 million	79.0 million

Productivity increases resulting from technology have enabled us to make substantial reductions in our staffing requirements while continuing to improve services for Congress. In 1980, total GPO employment was 6,450. At the end of FY 2019, we had 1,662 employees on board, representing a reduction of 4,788, or more than 74%, since 1980. Our workforce levels over the past four years remain the smallest of any time in the past century.

**GPO Employment
FY 1980 – FY 2019
(at September 30)**

<u>Fiscal Year</u>	<u>Headcount</u>
1980	6,450
1985	5,383
1990	4,977
1995	3,956
2000	3,139
2005	2,344
2010	2,284
2016	1,726

2017	1,740
2018	1,737
2019	1,662

Highlights of FY 2019 Congressional Work GPO worked with Congress to produce a number of publications in FY 2019, including a new pocket edition of *The Constitution of The United States and Declaration of Independence* and volumes 1-15 of the *Main Edition of the U.S. Code*, a publication that GPO produces every six years. Another publication GPO produced during FY 2019 was *Jefferson's Manual and Rules of the House of Representatives of the United States for the 115th Congress*. GPO also delivered over 200 Public Laws in FY 2019 and posted hyperlinked files for the history of bills for 2011, 2013, 2015, 2017, 2018, and 2019.

In addition, working with Congress, GPO was able to implement the Federal Register Savings Act subscription service. In FY 2019, GPO also had the great honor of producing printed materials for Congress including the programs for the Lying in State of President George Herbert Walker Bush and Congressman Elijah E. Cummings of Maryland's 7th Congressional District. The Congressman was a part of the GPO family, as he had worked the night shift in the 1970s while studying at nearby Howard University.

During FY 2019, GPO also made significant strides in digitizing congressional collections, and making them available on **govinfo**. After having completed the digitization of every single *Congressional Record* back to the very first issue from March 4, 1873 in FY 2018, GPO worked during this past fiscal year to digitize, and make available to the public, over 1,300 congressional hearings.

In addition, in support of the Legislative Branch Bulk Data Task Force, GPO, the Clerk of the House, the Secretary of the Senate, and the Office of the Federal Register continued their work a project to convert a subset of key legislative documents, including enrolled bills, public laws, and the *Statutes at Large*, into United States Legislative Markup (USLM). USLM is an XML information model designed to represent the legislation of the United States Congress. It is designed to semantically and structurally describe legislative and legal documents in a machine-readable format.

GPO also continued development of a new XML-based automated composition system to replace our aging proprietary Microcomp system during the year, known as the XPub Program (and formerly known as the Composition System Replacement (CSR) project). The overall goal of this effort is to move GPO to an all-XML composition workflow, and XPub is intended to be implemented on a product-by-product basis. In FY 2019, GPO took a major step forward by publishing the 2018 Main Edition of the United States Code, a nearly 60,000-page publication, through XPub. GPO is currently building on that success and working to bring additional publications into XPub production, including congressional bills, resolutions, amendments, public laws, statutes at large, House and Senate calendars, the *Congressional Record*, and the *Federal Register*. GPO staff will continue to work closely with House and Senate staff to ensure that CSR integrates seamlessly into current workflows and processes.

As we have noted before, making Government information available in XML permits data to be reused and repurposed not only for print output but also for conversion into eBooks, mobile web applications, and other forms of content delivery, including data mashups and other analytical tools by third party providers, which contributes to openness and transparency in Government. In addition to the files made available through our Bulk Data Repository, we ensure the authenticity of all information by making available digitally signed copies in PDF format, which is the official, authentic version that matches the printed

document. Additionally, we are now a regular participant and presenter at the House Legislative Data and Transparency Conference, along with staff from other legislative branch agencies, data users, and transparency advocates.

GPO and Federal Agencies

Federal agencies are major generators of information in the United States, and GPO produces their information products for official use and public access. Federal agencies and the public also rely on a growing variety of secure credentials that we produce, including travelers holding U.S. passports, members of the public who cross our borders frequently, and other users. Our digital systems support key Federal agency publications, including the annual *Budget of the U.S. Government* and, most importantly, the *Federal Register* and associated products. As it does for congressional documents, our digital authentication system, supported by public key infrastructure (PKI), assures the digital security of agency documents.

Highlights of FY 2019 Agency Operations Since 2012, we have made the annual *Budget of the U.S. Government* available as a mobile app, and with GPO's new **govinfo** system the documents are now available across multiple platforms. The complete, authentic online version the FY 2019 *Budget* was released on **govinfo** and in print in February 2018. The digital version provides users with access to the text and images of the *Budget*, including the Budget Message of the President, information on the President's priorities, and budget overviews organized by agency, as well as summary tables and additional books of the Budget, including the Analytical Perspectives, Appendix, and Historical Tables. GPO also had the privilege of producing printed materials to support important presidential events at The White House, including the September 20, 2019 State Dinner in honor of Australian Prime Minister Scott Morrison and his wife Jennifer.

GPO's Pueblo Colorado Distribution Center, which provides warehousing, logistics, business services, and distribution services for over 33 Federal customers celebrated its 47th Anniversary during FY 2019. During that time, it's estimated that the Pueblo facility has distributed over 1.2 billion publications to customers, and averaged approximately 58 million per year for the past several years.

One of GPO's major agency customers is the Office of the Federal Register (OFR), a unit of the National Archives and Records Administration (NARA), which produces the daily *Federal Register*. The *Federal Register* is the official daily publication for rules, proposed rules, and notices of Federal agencies and organizations, as well as executive orders and other presidential documents. It is updated daily by 6 a.m. and is published Monday through Friday, except Federal holidays. The OFR is also responsible for related publications such as the *Code of Federal Regulations*, and other key information products like the *Daily Compilation of Presidential Documents* and the *Public Papers of the President*. We produce these publications in both digital and print formats.

In FY 2019, GPO completed worked to complete the renovation of approximately 24,000 square feet of space in its Building A to house NARA's Center for Legislative Archives. NARA is expected to be moving House and Senate legislative records into the space in early 2020, and NARA and GPO are actively engaged in discussions to build out additional space at GPO's Building 4 to accommodate the Center for Legislative Archives long-term needs.

Partnership with Industry Other than congressional and inherently governmental work such as the *Federal Register*, the *Budget*, and security and intelligent documents, we produce

virtually all other Federal agency information products via contracts with the private-sector printing and information-product industry. This work is administered through both our central office and regional offices throughout the country. In FY 2019, this work was valued at approximately \$439.7 million, and represented 96,172 orders. More than 10,000 individual firms are registered to do business with GPO, the vast majority of whom are small businesses averaging 20 employees per firm. Contracts are awarded on a purely competitive basis; there are no set-asides or preferences in contracting other than what is specified in law and regulation, including a Buy American requirement.

This partnership provides significant economic opportunity for the private sector. GPO has long advocated that where Federal agency printing is required, this partnership is the most cost-effective way of producing it and in FY 2019. In 2013, the Government Accountability Office (GAO) conducted a study at the request of the Joint Committee on Printing that identified approximately 80 Federal printing plants in operation government-wide (<http://www.gao.gov/assets/660/655936.pdf>). GPO maintains that significant additional savings for taxpayers could occur if the work these plants are producing is transferred to GPO for production through our partnership with the private-sector printing and information-product industry. In addition, the work produced through this partnership can be efficiently and effectively captured for inclusion in GPO's Federal Depository Library Program (FDLP), thereby improving public access to Government information through the reduction of fugitive documents from the program.

Security and Intelligent Documents For nearly a century GPO has been responsible for producing the U.S. passport for the U.S. Department of State. At one time no more than a conventionally printed document, the U.S. passport since 2005 has incorporated a digital chip and antenna array capable of carrying biometric identification data. With other security printing features, this document — which GPO produces in Washington, DC, as well as at a secure remote facility in Mississippi — is now the most secure identification credential obtainable. In FY 2019, GPO produced 15.2 million passports for the State Department, and has produced a total of more than 181 million passports since 2005. In FY 2020 and FY 2021, GPO will continue to make investments needed to support the State Department's Next Generation Passport Program (NGP).

Since 2008, GPO has served as an integrator of secure identification smart cards to support the credentialing requirements of Federal agencies and other Government entities. GPO provides secure-card credential products to include design, printing, manufacturing, personalization and shipping and delivery. GPO leverages the most advanced industry technologies, raw materials and components from companies across the U.S. to build the highest quality products at the lowest prices by security-cleared government employees within secure government facilities. The GPO secure-credential operations are fully ISO 9001 certified and undergo rigorous third-party audits every year to gain recertification.

On an annual basis, the GPO produces over 4.2 million secure-card credentials for our Federal agency customers. Since 2008, GPO has produced more than 26 million secure-credential cards across 11 different product lines. Among them are the Trusted Traveler Program's (TTP) family of border crossing cards — NEXUS, SENTRI, FAST, and Global Entry — for the Department of Homeland Security (DHS), which are used by frequent travelers across U.S. borders. Another card produced for DHS is the Transportation Worker Identity Card (TWIC). In addition, GPO produces a Border Crossing Card (BCC) that is issued by the State Department for authorized travel across the Mexican border, as well as secure law enforcement credentials for the U.S. Capitol Police that are used in Presidential inaugurations.

GPO and Open, Transparent Government

Producing and distributing the official publications and information products of the Government fulfills an informing role originally envisioned by the Founders, as James Madison once said:

“A popular Government without popular information, or the means of acquiring it, is but a Prologue to a Farce or a Tragedy, or perhaps both. Knowledge will forever govern ignorance, and a people who mean to be their own Governors, must arm themselves with the power which knowledge gives.”

GPO operates a variety of programs that provide the public with “the means of acquiring” Government information that Madison spoke of. These programs include the Federal Depository Library Program (FDLP), **govinfo**, Publications Information Sales, Agency Distribution Services, and Social Media.

Federal Depository Library Program The FDLP has legislative antecedents that date to 1813 (3 Stat. 140), when Congress first authorized congressional documents to be deposited at the American Antiquarian Society in Worcester, MA, for the use of the public. Since then, Federal depository libraries have served as critical links between “We the People” and the information made available by the Federal Government. GPO provides the libraries with information products in digital and tangible formats, and libraries, in turn, make them available to the public at no charge while providing additional assistance to depository library users.

The FDLP has continued to transform over the years to meet the needs of the public and libraries in the digital age. Today, the FDLP serves millions of Americans through a network of 1,124 public, academic, law, and other libraries located across the Nation, averaging nearly three per congressional district.

A common theme among the Nation’s Federal depository libraries is flexibility. The FDLP of today welcomes libraries to tailor their U.S. Government collections to the needs of their local communities, through access to large tangible collections, access to digital materials, or a combination of the two.

Providing FDLP libraries with print and electronic Government information resources to share with their patrons is still at the core of what we do. However, our critical role of *Keeping America Informed* has expanded even further. GPO’s Library Services & Content Management (LSCM) business unit has been undertaking efforts to digitize and make available online historic print collections of Government information, as well as developing strategic efforts that partner with libraries and other organizations to permanently preserve historic resources.

Through historic digitization efforts, GPO has enhanced the scope of collections available on **govinfo.gov** tremendously. Some notable examples of LSCM’s recent work include:

- The Public Papers of the Presidents collection, formerly available from 1991 through the present, was expanded to include volumes dating back to 1929, through a joint digitization effort with the Office of the Federal Register (OFR).
- More than 1,300 historic congressional hearings dating back to 1958 were digitized and made available.
- The complete collection of the *Federal Register*, dating back to the first one published in 1936 was also digitized and made available, also through a joint effort with OFR.

LSCM has official partnership agreements in place with 64 organizations to advance free public access to U.S. Government information.

Partnerships range from organizations that pledge to permanently preserve Government publications in their libraries, to organizations that make a commitment to retain and make publicly accessible at no-fee digital resources within scope of the FDLP, to organizations that provide digital content to GPO for ingest into **govinfo**, and more.

Further, LSCM collaborates, through special projects and initiatives, with another 30 organizations, to share knowledge, develop services, and continue GPO's mission. A notable example is GPO's collaboration with the Library of Congress on Congressional Research Service (CRS) Reports. In furthering the reach of these reports to the public, in October 2018, LSCM staff began cataloging these reports for the Catalog of U.S. Government Publications (CGP) and OCLC, a global library cooperative that supports thousands of libraries in making information more accessible and more useful to people around the world. At the close of FY 2019, LSCM staff had cataloged over 2,800 separate, unique CRS report titles, approximately 40% of all reports available on the site.

Yet another way the FDLP is continuing to transform for the future is through National Collection Service Pilot Initiatives. LSCM is conducting pilots for services to depository libraries that will support the National Collection of U.S. Government Public Information. Pilot projects for various services are being planned, including: developing collection plans; cataloging; assessing collection condition; conducting inventories; and developing disaster preparedness, response, and recovery plans. The pilot projects will help nationwide FDLP libraries better serve the changing and ever-growing needs of their patrons.

While the FDLP remains an important asset to the American public that is grounded in historic roots, it continues to evolve and transform to meet the needs of the future.

govinfo Under the provisions of Public Law 103-40, GPO has been providing online public access to Congressional and Federal agency publications since 1994, beginning with a site known as *GPO Access*. Fifteen years later, *GPO Access* was retired and a significantly re-engineered system debuted as GPO's Federal Digital System or FDSys. In early 2016, GPO unveiled the next generation of our public access system with the introduction of **govinfo**. Rolled out initially as a Beta, the **govinfo** website improved upon FDSys by providing a modern interface that is aligned with the needs of today's Government information users for quick and effective online access across a variety of platforms.

Following a period of iterative development and testing, the **govinfo** website was moved out of Beta in December 2017. Throughout 2018, the FDSys and **govinfo** websites ran in parallel while GPO worked with key stakeholders to ensure a smooth transition to **govinfo**. In December 2018, the FDSys website was retired and replaced by the **govinfo** website. The **govinfo** website features a mobile-friendly design, current and historical content collections from all three branches, enhanced search and intuitive browse, linked related documents, curated feature articles, quick and easy social sharing, developer tools such as XML bulk data and a public API, expanded help information, support for redirects from millions of legacy FDSys links, and additional enhancements based on stakeholder feedback.

Online access to Federal documents made available by GPO has reduced the cost of providing public access to Government information significantly when compared with print, while expanding public access dramatically through the internet. In FY 2019, **govinfo** grew to make more than 2.6 million titles from the legislative, executive, and judicial branches available

online from our servers and through links to other agencies and institutions. The system averaged approximately 34 million retrievals per month.

GPO has continually added content to **govinfo** to provide increased public access to Government information. Building on its significant FY 2018 accomplishments, which included the digitization of volumes of the bound *Congressional Record* back to 1873, GPO digitized over 76,000 pages of the Public Papers of the President in FY 2019. This achievement added the Public Papers of the Presidents for Herbert Hoover, Harry S. Truman, Dwight D. Eisenhower, Lyndon B. Johnson, Richard M. Nixon, Jimmy Carter, and Ronald W. Reagan to the collections of President William J. Clinton, George W. Bush, and Barack H. Obama, which were already accessible via **govinfo**.

Throughout FY 2018 and into FY 2019, the **govinfo** repository underwent an extensive audit for certification as a Trustworthy Digital Repository in compliance with International Organization for Standardization (ISO) 16363. In December 2018, GPO made history by becoming the first organization in the United States, and just the second organization in the world, to achieve this certification, the highest global standard of excellence for digital repositories. GPO's **govinfo** was evaluated against 109 criteria covering all aspects of a digital repository including organizational infrastructure, digital object management, and infrastructure and security risk management. Certification provides assurance to GPO stakeholders that **govinfo** is a standards-compliant digital repository in which Government information is preserved, accessible, and usable now and into the future.

In support of the Legislative Branch Bulk Data Task Force throughout FY 2019, GPO worked with the Clerk of the House and the Secretary of the Senate on initiatives to convert legacy file formats into United States Legislative Markup (USLM) XML. In early FY 2019, the first project was completed with the release of a subset of enrolled bills, public and private laws, and Statutes at Large in Beta USLM XML on **govinfo**. USLM offers a standard XML schema to promote interoperability among documents as they flow through the legislative and regulatory processes. USLM also promotes international interoperability with documents produced by governments world-wide.

GPO has continued to invest in the IT infrastructure supporting **govinfo**. This includes bandwidth, storage, and servers needed for Production, COOP, Test, and Development environments.

Number of Titles Available Online Through GPO
(includes titles on GPO servers and titles linked from GPO)
FY 2000 – FY 2019

<u>Fiscal Year</u>	<u>Number of Titles</u>
2000	193,000
2005	301,600
2010	441,700
2015	1,400,000
2017	2,200,000
2018	2,500,000
2019	2,600,000

Publication and Information Sales Program Along with the FDLP and our online dissemination system, which are no-fee public access programs, GPO also provides access to official Federal information through public sales featuring secure ordering through an online bookstore

(bookstore.gpo.gov), a bookstore at GPO headquarters in Washington, DC, and partnerships with the private sector that offer Federal publications as eBooks. As a one-stop shop for eBook design, conversion, and dissemination, our presence in the eBook market continues to grow. We have agreements in place with Apple iTunes, Google Play, Barnes & Noble, OverDrive, Zinio, EBSCO, ProQuest and other online vendors to make popular Government titles such as *Your Guide to Breastfeeding*, *Dietary Guidelines for Americans*, and *My Future, My Way – First Steps Towards College* as eBooks. We also offer a print-on-demand service for sales titles through Amazon and others, which enables us to offer more titles and avoid the expense of additional warehousing.

Agency Distribution Services (ADS) Program GPO operates two distribution facilities which are strategically located in Laurel, MD (30 miles from Washington, DC) and Pueblo, CO (115 miles from Denver, CO). Through these facilities, GPO administers distribution programs for the information products of other Federal agencies. Today, over 60 Federal agencies utilize the comprehensive services provided through the Pueblo and Laurel facilities, which together offer more than 200,000 square feet of climate-controlled distribution, storage, and fulfillment space.

Among the services provided through GPO's ADS program are website hosting, consulting services, fulfillment and distribution, address validation services, call center operations, and printing optimization, just to name a few. These services are all designed to help Federal agencies achieve savings in the distribution of their information products.

The ADS program continues to grow. Revenues approached \$13 million in FY 2019, up from \$9.2 million in FY 2017, and the number of total orders processed at the Laurel and Pueblo facilities eclipsed 2 million. In FY 2021 and beyond, GPO hopes to expand the array of ADS offerings to Federal agency partners.

GPO and Social Media We use Facebook, Twitter, YouTube, Instagram, LinkedIn, Pinterest, and a blog to share information about GPO news and events, and to promote specific publications and products. By the end of FY 19, we had 11,759 Facebook followers and 10,602 Twitter followers. On Instagram we had 1,047 followers and 2,098 posts. By the end of FY 19, 1,365 people were subscribed to our YouTube channel, which has nearly 299,876 views across our 80 videos. On Pinterest, we had 1,000 followers pinning on 22 boards of Federal Government information. We had 3,754 followers on LinkedIn. In 2019, we also launched five social media campaigns (FY 2020 Budget, #LoveMyFDL, Public Papers of the Presidents, Moon Landing Anniversary, and 12 Days of GPO), to promote various GPO products and services. These campaigns received more than 274,000 views. On Instagram, we created an interactive game called "Name that Demyonym" to drive followers to the GPO Style Manual and shared nine Instagram Stories highlighting GPO employees and the work the agency does. Our blog, *Government Book Talk*, focuses on increasing the awareness of new and classic Federal publications through reviews and discussions.

GPO's Finances

Business Operations Revolving Fund All GPO activities are financed through our Business Operations Revolving Fund, established by section 309 of Title 44, U.S.C. This business-like fund is used to pay all of our costs in performing congressional and agency publishing, information product procurement, and publications dissemination activities. It is reimbursed from payments from customer agencies, sales to the public, and transfers from our two annual appropriations: the Congressional Publishing Appropriation and the Public Information Programs of the Superintendent of Documents Appropriation.

The Business Operations Revolving Fund functions as GPO's checking account with the U.S. Treasury. We pay our expenses from this account either through electronic transfer or check. The fund is reimbursed when the Treasury Department transfers money from agency appropriations accounts to the fund when agencies pay our invoices. This procedure also applies to the payment of transfers from the Congressional Publishing and Public Information Programs appropriations, and to deposits of funds collected from sales to the public.

GPO maintains a cash balance in the Business Operations Revolving Fund that is used to pay all expenses. The cash balance fluctuates daily as payments are received from agency reimbursements, customer payments, and transfers from GPO appropriations.

Retained Earnings Under GPO's system of accrual accounting, annual earnings generated since the inception of the Business Operations Revolving Fund have been accumulated as retained earnings. Retained earnings make it possible for us to fund a significant amount of technology modernization. However, appropriations for essential investments in technology and plant upgrades are requested when necessary.

Appropriated Funds GPO's Congressional Publishing Appropriation is used to reimburse the Business Operations Revolving Fund for the costs of publishing the documents required for the use of Congress in digital and tangible formats, as authorized by the provisions of chapters 7 and 9 of Title 44, U.S.C. The Public Information Programs of the Superintendent of Documents Appropriation is used to pay for the costs associated with providing online access to, and the distribution of, publications to Federal depository libraries, cataloging and indexing, statutory distribution, and international exchange distribution. The reimbursements from these appropriations are included in the Business Operations Revolving Fund as revenue for work performed.

Unlike most appropriations to other Federal agencies, these two appropriations are for work that GPO itself does not control. The Congressional Publishing Appropriation in effect is an appropriation by Congress to cover the costs of its publishing activities. The appropriation is made to GPO to relieve Congress of the burden of maintaining detailed accounting records for all publishing work ordered from GPO both by law and by other congressional requisitions, as well as the responsibility for estimating the anticipated volume of congressional publishing that is used as the basis for the appropriation.

Congress plays a major role in controlling the rate of spending of the Congressional Publishing Appropriation. GPO can transfer funds from the appropriation to the Business Operations Revolving Fund only when it performs congressional publishing work. The appropriation is not available for expenditure for any purposes other than this work. While GPO does its best to estimate the volume of congressional publishing in any given year, that volume can change due to circumstances beyond GPO's control. GPO affects the rate of spending under this appropriation by ensuring the efficiency of its operations.

If congressional requisitions fall short of GPO's estimate, there will be a balance remaining in the Congressional Publishing Appropriation at the end of the year. Under the language of GPO's appropriations legislation, such balances are eligible for transfer to the Business Operations Revolving Fund, where they can be used only for the purposes for which they were originally appropriated, with the approval of the House and Senate Appropriations Committees. If Congress's requirements exceed GPO's estimate, GPO will continue to fulfill them, and Congress will in effect spend more than it appropriated. As a result, there will be a shortfall in the appropriation for which GPO would need additional funding in a subsequent

year. The shortfall would be paid out of available money — retained earnings — in the Business Operations Revolving Fund that otherwise would be available for investment in new plant and equipment. When shortfalls occur, Congress subsequently repays GPO for the excess cost of its printing to restore money to the Business Operations Revolving Fund.

Like the Congressional Publishing Appropriation, the Public Information Programs Appropriation is available only for specific programs: online access and distribution to Federal depository libraries, cataloging and indexing, statutory distribution, and international exchange. The publishing activities of the Government determine the workload handled by these programs, not GPO. However, GPO affects the level of funding by ensuring the efficiency of its information dissemination operations. Like the Congressional Publishing Appropriation, any unobligated balances remaining in this account may be transferred to the Business Operations Revolving Fund, where they can be used only for the purposes for which they were originally appropriated, with the approval of the House and Senate Appropriations Committees. GPO is accountable for its finances.

Each year, GPO's finances and financial controls are audited by an independent outside audit firm working under contract with GPO's Office of Inspector General. For FY 2019, the audit concluded with GPO earning an unmodified, or clean, opinion on its finances, the 23rd consecutive year GPO has earned such an audit result.

FY 2019 Financial Results During FY 2019, revenue totaled \$937.4 million while expenses charged against GPO's budget were \$885.7 million, for an overall net income of \$51.7 million from operations. Included in both GPO's revenue and net income is approximately \$17.3 million in funds set aside for passport-related capital investments, as agreed to by GPO and the Department of State. Expenses include \$1.9 million in funds resulting from an increase to GPO's long-term workers' compensation liability under the Federal Employees Compensation Act (FECA). Apart from these funds, GPO's net operating income from FY 2019 was \$36.2 million.

Funds appropriated directly by Congress provided nearly \$114.4 million (including funds from the Congressional Publishing and Public Information Programs appropriations, along with appropriations to the Business Operations Revolving Fund), or about 12.2% of total revenue. All other GPO activities, including in-plant publishing (which includes the production of passports), procured work, sales of publications, agency distribution services, and all administrative support functions, were financed through the Business Operations Revolving Fund by revenues generated by payments from agencies and sales to the public.

The largest single component of GPO's annual expenses is publishing work procured from the private sector. In FY 2019, the cost of this work totaled \$402.7 million, or about 45.5% of total expenses. The second largest component was personnel compensation and benefits. These totaled \$222.9 million, or about 25.2% of all expenses.

FY 2021 Appropriations Request

GPO is requesting a total of \$117,000,000 for FY 2021. This is the same level of funding GPO requested in FY 2020, and the same amount appropriated in FY 2020. Through FY 2020, total GPO appropriations have declined by 21% since FY 2010 and are currently at their lowest level since then.

GPO's continued transition to digital technologies and products has increased our productivity and reduced costs. Additionally, maintaining financial controls on our overhead costs, coupled

with a buyout in FY 2015 that reduced GPO's workforce by 103 positions, has helped make this funding request possible. Finally, the utilization of the unexpended balances of prior year appropriations, which we are able to transfer to GPO's Business Operations Revolving Fund with the approval of the Appropriations Committees, has made it possible in recent years to hold the line on the level of new funding we request.

**Total Appropriations to GPO
FY 2010-2020 and FY 2021 Request**

<u>Fiscal Year</u>	<u>Appropriation</u>
2010	\$147,461,000
2011	135,067,324
2012	126,200,000
2013	117,533,423
2014	119,000,000
2015	119,993,000
2016	117,068,000
2017	117,068,000
2018	117,068,000
2019	117,000,000
2020	117,000,000
2021	117,000,000 (Requested)

Our FY 2021 request will enable us to:

- meet projected requirements for congressional publishing;
- fund the operation of the public information programs of the Superintendent of Documents; and
- develop information technology including IT cybersecurity measures that support congressional publishing and public information programs operations.

Congressional Publishing Appropriation GPO is requesting \$78,000,000 for this account. This is \$1,000,000 less than requested in GPO's FY 2020 budget submission for the Congressional Publishing account, and \$1,000,000 less than Congress appropriated in FY 2020.

Overall, the annual appropriations for Congressional Publishing been flat since FY 2014 and have declined by nearly 17% since FY 2010 as the result of our continuing transition to digital technology and products, as well as actions taken in cooperation with the House of Representatives and the Senate to control congressional publishing costs. Unspent prior-year balances from this account that have been transferred to GPO's Business Operations Revolving Fund are available for the purposes of this account.

**Congressional Publishing Appropriation
FY 2010-2020 and FY 2021 Request**

<u>Fiscal Year</u>	<u>Appropriation</u>
2010	\$93,768,000
2011	93,580,464
2012	90,700,000
2013	82,129,576
2014	79,736,000
2015	79,736,000
2016	79,736,000
2017	79,736,000
2018	79,528,000
2019	79,000,000
2020	79,000,000
2021	78,000,000 (Requested)

House Report 114-110, accompanying the Legislative Branch Appropriations bill for FY 2016, requires the presentation of budget requirements from a zero base. However, GPO has no control over the workload requirements of the Congressional Publishing Appropriation. These are determined by the legislative activities and requirements of the House of Representatives and the Senate as authorized by the applicable provisions of Title 44, U.S.C. GPO utilizes historical data incorporating other relevant factors to develop estimates of likely congressional publishing requirements. These requirements are used as the basis of the budget presentation for this account.

Congressional Publishing workload volume is expected to decline by about \$155,000 in FY 2021 from FY 2020 levels, but price-level and wage increases (if implemented) are expected to increase expenses to the Congressional Publishing account by an additional \$2,470,000. In order to accommodate the net cost increase, and to reduce the FY 2021 Congressional Publishing request by \$1,000,000 from FY 2020, GPO plans to use \$6,021,000 of prior-year transfer funds in GPO's Business Operations Revolving Fund to support its Congressional Publishing work in FY 2021.

As shown on page D-4 of our budget justification for FY 2021, unexpended balances of prior-year appropriations that have been transferred to GPO's Business Operations Revolving Fund will be used to offset anticipated requirements for FY 2021, so that appropriation requirements can be reduced by \$1,000,000. The balance of these funds is earmarked for GPO's critically important Composition System Replacement (CSR)/XPub project. This initiative involves the development of an XML-based composition system to replace our 30+ year-old Microcomp system used in the preparation of congressional documents for digital and print access, and other congressional information projects as indicated on page F-6.

Public Information Programs of the Superintendent of Documents GPO is requesting \$32,300,000 for this account, which is an increase of \$1,04,000 from the amount GPO requested, and Congress appropriated, in FY 2020. This account pays for the cost of providing Federal Government publications in digital and tangible formats to 1,124 Federal depository libraries nationwide, cataloging and indexing, the distribution of documents to recipients designated by law, and international exchange distribution.

This appropriation request represents a nearly 21% reduction from the amounts appropriated in FY 2010. This reduction has been made possible by our continuing transition to digital

technology and products which has made the increased dissemination of official Government information to the public less costly and more efficient.

**Public Information Programs of the
Superintendent of Documents Appropriation
FY 2010-2020 and FY 2021 Request**

<u>Fiscal Year</u>	<u>Appropriation</u>
2010	\$40,911,000
2011	39,831,178
2012	35,000,000
2013	31,437,000
2014	31,500,000
2015	31,500,000
2016	30,500,000
2017	29,500,000
2018	29,000,000
2019	32,000,000
2020	31,296,000
2021	32,300,000 (Requested)

The net funding increase of \$1,004,000 we are requesting for FY 2021 is comprised of mandatory pay and related increases of about \$501,000 and price-level increases of \$503,000. The approved use of prior-year transfer funds will cover \$4,063,000 of program/project/activity costs in FY 2021 as well. Such programs include the implementation of the Salesforce customer relations management (CRM) system (\$1,200,000); the potential development of a web-portal envisioned by the pending Congressionally Mandated Reports Act, H.R. 736 (\$1,000,000); the digitization, processing, and cataloguing of historic documents for ingest into **govinfo.gov** (\$1,000,000), and national collection pilot projects for FDLP libraries.

The requested amount is based on the outcome of using zero-based budgeting to determine the proper levels of funding needed to perform program activities at minimum levels, as directed by House Report 114-110. GPO plans to utilize carry-over balances from funds transferred to the Business Operations Revolving Fund to support high-priority information services and products funded by this account as indicated on page F-6, including the collection preservation of new and historic documents and continued development of **govinfo** content and capabilities.

Business Operations Revolving Fund GPO is requesting \$6,700,000 for this account, to remain available until expended, to support continued investment in information technology and cybersecurity projects. This compares with the \$6,704,000 GPO requested, and Congress appropriated, for these same purposes in FY 2020. Funding provided to this account represents an increase to working capital for specified projects.

Since FY 2013, these projects have consistently included improvements to GPO's FDsys website and its successor **govinfo**, which have expanded public access to congressional and other Government information products in digital formats while decreasing the costs of distributing traditional print formats. They have also included efforts to harden and secure GPO's IT infrastructure from persistent external cybersecurity threats.

**Appropriations to the Business Operations Revolving Fund
FY 2010-2020 and Requested for FY 2021**

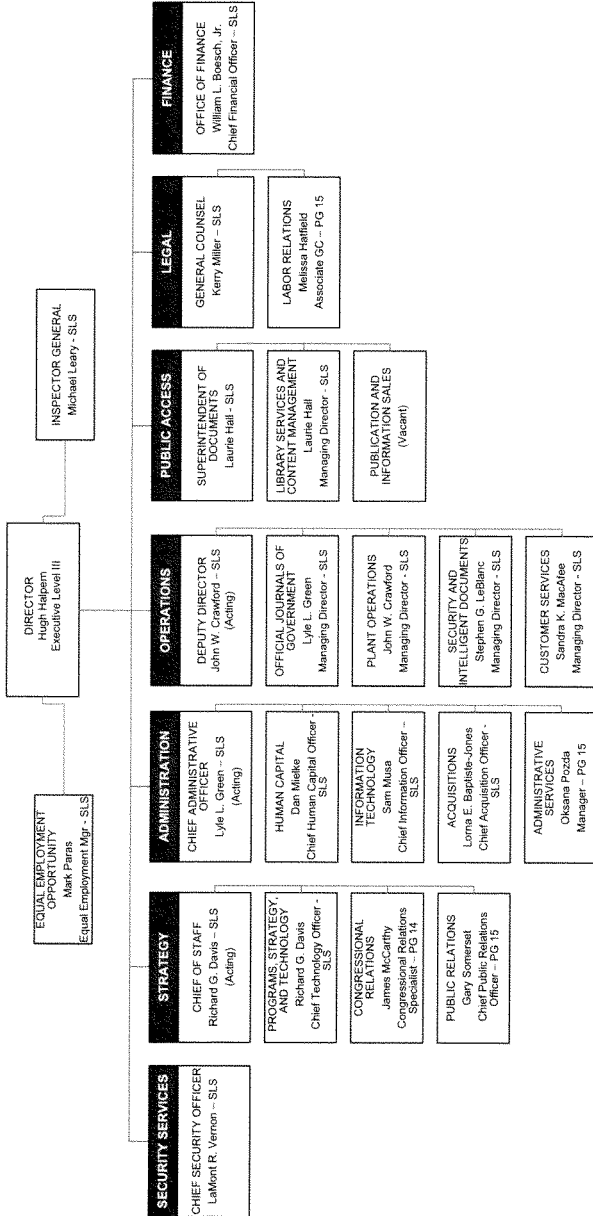
<u>Fiscal Year</u>	<u>Appropriation</u>
2010	\$12,782,000
2011	1,655,682
2012	500,000
2013	3,966,847
2014	8,064,000
2015	8,757,000
2016	6,832,000
2017	7,832,000
2018	8,540,000
2019	6,000,000
2020	6,704,000
2021	6,700,000 (Requested)

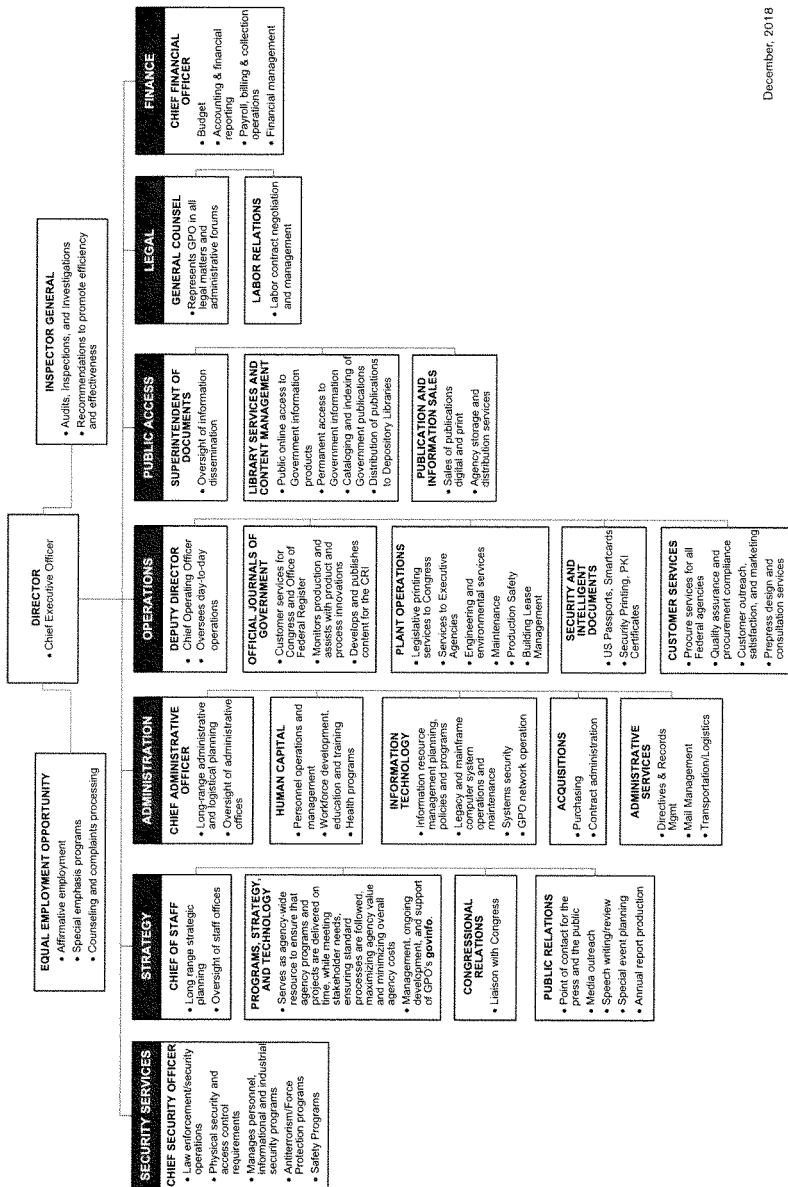
Govinfo Projects for FY 2021 - \$6,550,000

- **General System and Collection Development (\$3,500,000)** – This funding is requested to support the development of new **govinfo** features to meet the identified needs of key stakeholders. Activities funded would include developing new content collections, increasing content in existing collections, enhancing the accessibility of content, and improving the discoverability of information hosted on **govinfo**.
- **Infrastructure (\$3,050,000)** – This funding is requested to support the procurement and servicing of the hardware, storage, and environments needed to manage system performance as **govinfo** content and usage continues to grow.

Cybersecurity Projects for FY 2021 - \$150,000

- **Security Enhancements for Advanced Persistent Threat (\$150,000)** – The cybersecurity threat environment faced by Government agencies continues to change rapidly and presents substantive risks and dangers to organizations. The requested funding is planned to address that evolving threat environment by implementing enhanced IT security systems that are intended to reduce the risk of unauthorized data exfiltration, unauthorized access, unauthorized changes to data, and related impacts.





GPO STAFFING INFORMATION

As of December, 2019

Business Unit	1-8	9-12	13-15	SLS	Executive	Wage Grade	Total
Acquisitions	1	7	9	1	0	0	18
Administrative Services	7	3	4	0	0	0	14
Customer Services	26	81	38	1	0	0	146
Equal Employment Opportunity	0	3	3	1	0	0	7
Executive Offices	0	0	3	0	1	0	4
General Counsel	0	2	9	1	0	0	12
Human Capital	8	6	24	1	0	0	39
Information Technology	0	15	66	1	0	0	82
Inspector General	0	0	13	1	0	0	14
Library Services & Content Management	5	44	28	1	0	11	89
Office of Communications	0	3	4	0	0	0	7
Office of Finance	9	41	42	1	0	1	94
Official Journals of Government	3	12	13	1	0	79	108
Plant Operations	14	43	59	2	0	550	668
Programs, Strategy and Technology	0	1	16	1	0	0	18
Publication & Information Sales	21	19	8	0	0	2	50
Security Services	43	9	8	1	0	0	61
Security and Intelligent Documents	9	2	34	2	0	161	208
Grand Total	146	291	381	16	1	804	1,639

Note: This information outlines the number of employees within the agency's organizational structure. The breakout is by plan and grade range or salary equivalent of 1,639 employees, as of December 2019.

GPO's Senior Level Service (SLS) is similar to the Senior Executive Service.

GOVERNMENT PUBLISHING OFFICE
Summary of Appropriation Estimates
(Dollars in Thousands)

<u>Appropriation Title</u>	<u>FY 2019 Actual</u>	<u>FY 2020 Enacted</u>	<u>FY 2021 Request</u>	<u>FY 2020/2021 Net Change</u>
Congressional Publishing	\$ <u>79,000</u>	\$ <u>79,000</u>	\$ <u>78,000</u>	\$ <u>(1,000)</u>
Superintendent of Documents				
Public Information Programs				
By Law Distribution	320	317	323	6
Cataloging and Indexing	9,280	9,200	10,013	813
Federal Depository Library	21,760	21,100	21,318	218
International Exchange	<u>640</u>	<u>679</u>	<u>646</u>	<u>(33)</u>
Total Appropriation	<u>32,000</u>	<u>31,296</u>	<u>32,300</u>	<u>1,004</u>
Business Operations Revolving				
Fund	<u>6,000</u>	<u>6,704</u>	<u>6,700</u>	<u>(4)</u>
Total Appropriations	\$ <u>117,000</u>	\$ <u>117,000</u>	\$ <u>117,000</u>	\$ <u>-</u>

GOVERNMENT PUBLISHING OFFICE
Staffing Summary – FTE's

<u>Appropriation Title</u>	<u>FY 2019 Actual</u>	<u>FY 2020 Enacted</u>	<u>FY 2021 Request</u>	<u>2020/2021 Change</u>
Congressional Publishing	-	-	-	-
Superintendent of Documents				
Public Information Programs				
By Law Distribution	1	1	1	-
Cataloging and Indexing	23	29	29	-
Federal Depository Library	59	68	68	-
International Exchange	<u>2</u>	<u>2</u>	<u>2</u>	<u>-</u>
Total Appropriation	<u>85</u>	<u>100</u>	<u>100</u>	<u>-</u>
Business Operations Revolving Fund	<u>1,579</u>	<u>1,660</u>	<u>1,660</u>	<u>-</u>
Total Agency	<u>1,664</u>	<u>1,760</u>	<u>1,760</u>	<u>-</u>

**GOVERNMENT PUBLISHING OFFICE
CONGRESSIONAL PUBLISHING
(INCLUDING TRANSFER OF FUNDS)
Fiscal Year 2021**

Proposed Appropriations Language:

For authorized publishing of congressional information and the distribution of congressional information in any format; publishing of Government publications authorized by law to be distributed to Members of Congress; and publishing, and distribution of Government publications authorized by law to be distributed without charge to the recipient, [\$79,000,000] *\$78,000,000: Provided*, That this appropriation shall not be available for paper copies of the permanent edition of the Congressional Record for individual Representatives, Resident Commissioners or Delegates authorized under section 906 of title 44, United States Code: *Provided further*, that this appropriation shall be available for the payment of obligations incurred under the appropriations for similar purposes for preceding fiscal years: *Provided further*, that notwithstanding the 2-year limitation under section 718 of title 44, United States Code, none of the funds appropriated or made available under this Act or any other Act for printing and binding and related services provided to Congress under chapter 7 of title 44, United States Code, may be expended to print a document, report, or publication after the 27-month period beginning on the date that such document, report, or publication is authorized by Congress to be printed, unless Congress reauthorizes such printing in accordance with section 718 of title 44, United States Code: *Provided further*, that unobligated or unexpended balances of expired discretionary funds made available under this heading in this Act for this fiscal year may be transferred to, and merged with, funds under the heading "Government Publishing Office Business Operations Revolving Fund" no later than the end of the fifth fiscal year after the last fiscal year for which such funds are available for the purposes for which appropriated, to be available for carrying out the purposes of this heading, subject to the approval of the Committee on Appropriations of the House of Representatives and the Senate: *Provided further*, that notwithstanding sections 901, 902, and 906 of title 44, United States Code, this appropriation may be used to prepare indexes to the Congressional Record on only a monthly and session basis. (*Legislative Branch Appropriations Act, 2020.*)

Base Budget Review:

Description of Program

The estimates for Congressional Publishing are to provide funds to pay for the cost of publishing required for the use of Congress, and for publishing and distribution of Government publications authorized by law to be distributed without charge to the recipient.

Explanations of Changes

The appropriation requested for FY 2021 is \$78,000,000. A total of \$84,021,000 is required to cover congressional publishing requirements for FY 2021; however, transfers of unexpended prior year appropriations to the Government Publishing Office Business Operations Revolving Fund of \$6,021,000 will be utilized to offset the requirement. For FY 2020, a total of \$81,706,000 is estimated to be required to cover congressional publishing requirements by the appropriation request of \$79,000,000 and unexpended prior year transfers of \$2,706,000. The transfer of the unexpended balance of the FY 2015 Congressional Publishing Appropriation to the Business Operations Revolving Fund may be requested in FY 2020, as authorized in the annual appropriations language.

A. Congressional Record Publications. The proceedings of the Senate and House of Representatives are printed in the *Congressional Record*, and published in digital format to GPO's **govinfo**. Currently, 1,660 copies are printed daily. About 1,375 copies are charged to the Congressional Publishing Appropriation, including about 285 copies distributed without charge to recipients designated by Senators. The copies that are not charged to the Congressional Publishing Appropriation are delivered and charged to Government departments on requisitions, and to the Superintendent of Documents for sale to subscribers. Online access to a digital *Congressional Record* database was initiated in 1994 pursuant to the authorization in chapter 41 of Title 44, U.S.C. After the close of each session, the daily proceedings are consolidated, indexed, and posted on **govinfo**. About 203 sets are printed as the permanent bound edition of the *Record*. About 95 of these sets are for Congressional use and charged to the Congressional Publishing Appropriation. The remaining 108 sets are for public sale, charged to departments on requisition, or distributed to regional Federal depository libraries. An estimated 19,700 pages will be required in FY 2021 and the cost will be approximately \$17,772,000.

B. Miscellaneous Publications. This item includes publications such as the *Congressional Directory*, Senate and House Journals, memorial addresses of Members, serial sets, and publications not carrying a document or report number, such as laws, treaties, and similar publications. An estimated \$3,860,000 will be required in FY 2021 for approximately 22,800 pages.

C. Miscellaneous Publishing and Services. This item includes letterheads, envelopes, blank paper, miscellaneous services, blank forms, composition, binding, content management, inaugural products and COOP-related expenses for support of both Houses of Congress. The estimate for FY 2021 is \$22,341,000 for about 49.8 million units.

D. Details to Congress. This item includes the cost for GPO employees detailed to Congress. The estimated cost for FY 2021 is \$5,880,000 for 98,000 hours.

E. Document Envelopes and Document Franks. Document envelopes are furnished to Senators and Representatives for the mailing of speeches and documents. Document franks are printed individually or in sheets with perforations and are furnished to Members of Congress for mailing documents. An estimated \$625,000 will be needed in FY 2021 for approximately 3,280,000 envelopes, at a cost of \$512,500 and 720,000 document franks, at a cost of \$112,500.

F. Business and Committee Calendars. This heading covers the publishing of all House and Senate business and committee calendars, which list the actions on pending and completed legislation. An estimated \$3,493,000 will be required in FY 2021 for approximately 25,500 pages.

G. Bills, Resolutions, and Amendments. This heading covers the publishing of bills, resolutions, and amendments in all forms, including the prints as introduced, referred, reported, and finally passed. The estimate for FY 2021 is \$5,817,000 for approximately 128,700 pages.

H. Committee Reports. This item covers published reports of congressional committees on pending legislation that carry a congressional number. An estimated \$2,718,000 will be needed for about 27,200 pages in FY 2021.

I. Documents. This heading includes all classes of Senate and House documents ordered published by Congress that carry a congressional number, such as annual reports, engineers' reports, special reports made by Government departments in response to resolutions, supplemental and deficiency estimates of appropriations, etc. The estimate for FY 2021 is \$537,000 for about 30,400 pages.

J. Hearings. This item covers all hearings before House and Senate committees. The estimate for FY 2021 is \$16,233,000 for approximately 220,500 pages.

K. Committee Prints. This item includes publications for the internal use of committees on pending legislation. The estimate for FY 2021 is \$932,000 for 23,300 pages.

L. United States Code. The 2018 edition of the United States Code was funded in the FY 2019 appropriation. It contains the general and permanent laws of the United States. It is prepared and published every 6 years under authority of Title 2, U.S.C. Section 285b by the Office of the Law Revision Counsel of the House of Representatives.

GOVERNMENT PUBLISHING OFFICE
CONGRESSIONAL PUBLISHING APPROPRIATION
Base Budget Review (Detail by Activity)
(Dollars in Thousands)

Category	2019 Actual ¹	2020 Estimate	2021 Estimate	Change
A. Congressional Record Publications:				
Daily Record:				
Content Development ²	\$ 11,090	\$ 12,338	\$ 11,907	\$ (431)
Printing.....	5,462	6,077	5,865	(212)
Subtotal.....	16,552	18,415	17,772	(643)
Record Index.....	2,400	2,147	2,147	0
Record Indexers.....	1,560	1,612	1,666	54
Subtotal.....	20,512	22,174	21,585	(589)
B. Miscellaneous Publications.....	5,960	3,637	3,860	223
C. Miscellaneous Publishing and Services.....	16,798	19,531	22,341	2,810
D. Details to Congress.....	5,673	5,592	5,880	288
E. Document Envelopes and Franks.....	512	680	625	(55)
F. Business and Committee Calendars.....	3,539	4,493	3,493	(1,000)
G. Bills, Resolutions, and Amendments.....	6,004	5,515	5,817	302
H. Committee Reports.....	2,367	2,746	2,718	(28)
I. Documents.....	589	416	537	121
J. Hearings.....	14,093	15,904	16,233	329
K. Committee Prints.....	1,064	1,018	932	(86)
L. U. S. Code.....	4,127	0	0	0
Total Obligations.....	81,237	81,706	84,021	2,315
Surplus/(Shortfall).....	(2,237)	(2,706)	(6,021) ³	(3,315)
Appropriation.....	\$ 79,000	\$ 79,000	\$ 78,000	(1,000)

¹ Actual year-to-date expenditures and estimated unliquidated obligations.

² Includes GPO **govinfo** publishing.

³ The unexpended balances of prior year appropriations that have been transferred to GPO's Business Operations Revolving Fund will be used to offset the projected shortfall for FY 2021 and the balance will be used for critical projects supporting congressional publishing.

CONGRESSIONAL PUBLISHING APPROPRIATION

Analysis Of Change FY 2020 to FY 2021

CALCULATION OF BASE		
	FTE	AMOUNT (000)
Base, 2020	-	\$79,000
I. Adjustments To Base	2021 REQUEST	
A. Price Level Changes	-	2,470
1. Daily Congressional Record:		
1a. Content Development	-	387
1b. Printing	-	<u>191</u>
Subtotal	-	578
2. Congressional Record Index	-	0
3. Congressional Record Indexers	-	54
4. Miscellaneous Publications	-	126
5. Miscellaneous Publishing and Services	-	726
6. Details to Congress	-	0
7. Document Envelopes and Franks	-	20
8. Business and Committee Calendars	-	114
9. Bills, Resolutions, and Amendments	-	189
10. Committee Reports	-	88
11. Documents	-	17
12. Hearings	-	528
13. Committee Prints	-	30
14. U.S. Code	-	0

CONGRESSIONAL PUBLISHING APPROPRIATION

Analysis Of Change FY 2020 to FY 2021

CALCULATION OF BASE		
	FTE	AMOUNT (000)
B. Program Type Changes	-	(\$3,470)
1. Activity	-	(155)
a. Daily Congressional Record:		
1. Content Development	-	(819)
2. Printing	-	<u>(403)</u>
Subtotal	-	(1,222)
3. Congressional Record Index	-	0
4. Congressional Record Indexers	-	0
b. Miscellaneous Publications	-	98
c. Miscellaneous Publishing and Services	-	2,083
d. Details to Congress		288
e. Document Envelopes and Franks	-	(76)
f. Business and Committee Calendars	-	(1,113)
g. Bills, Resolutions, and Amendments	-	114
h. Committee Reports	-	(116)
i. Documents	-	104
j. Hearings	-	(199)
k. Committee Prints	-	(116)
l. U.S. Code	-	0
2. Estimated Change - in Surplus/(Shortfall)	-	(3,315)
II. Net Change	-	(1,000)
III. Appropriation 2021	-	\$78,000

CONGRESSIONAL PUBLISHING APPROPRIATION

Explanation of Changes

	FTE	Amount (000)
A. PRICE LEVEL CHANGES		
The average 3% increase is due to increase in printing costs rates.	-	\$2,470
B. PROGRAM TYPE CHANGES		
1. Activity (Volume)	-	(155)
a. Congressional Record Publications:		
1. Daily Record This 6.6 percent decrease is computed based on historical data.	-	(1,222)
b. Miscellaneous Publications This 2.7 percent increase is computed based on historical data.	-	98
c. Miscellaneous Publishing and Services This 10.7 percent increase is computed based on historical data.	-	2,083
d. Details to Congress This 5.2 percent increase is computed based on historical data.	-	288
e. Document Envelopes and Franks This 11.1 percent decrease is computed based on historical data.	-	(76)
f. Business and Committee Calendars This 24.8 percent decrease is computed based on historical data associated with Congressional terms.	-	(1,113)
g. Bills, Resolutions, and Amendments This 2.1 percent increase is computed based on historical data.	-	114
h. Committee Reports This 4.2 percent decrease is computed based on historical data.	-	(116)
i. Documents This 25.1 percent increase is computed based on historical data.	-	104
j. Hearings This 1.3 percent decrease is computed based on historical data.	-	(199)
k. Committee Prints This 11.4 percent decrease is computed based on historical data.	-	(116)
2. Estimated Change - in Surplus/(Shortfall)	-	(\$3,315)

GOVERNMENT PUBLISHING OFFICE
CONGRESSIONAL PUBLISHING APPROPRIATION
By Object Class
(Dollars in Thousands)

OMB Object Class	2019 Actual	2020 Actual	2021 Estimate	Change
24 Printing & Reproduction	\$79,000	\$79,000	\$78,000	(\$1,000)

GOVERNMENT PUBLISHING OFFICE
CONGRESSIONAL PUBLISHING APPROPRIATION
Analysis of Change to Budget Base
(Dollars in Thousands)

OMB Object Class	Price Level Changes	Program Type Changes	Total Change
24 Printing & Reproduction	\$2,470	(\$3,470)	(\$1,000)

CONGRESSIONAL PUBLISHING APPROPRIATIONEstimated Cost Per Unit by Category¹

Category	Unit ²	2019	2020	2021
A. Congressional Record Publishing:				
Daily Record:				
Content Development.....	Page.....	\$565	\$585	\$604
Printing.....	Page.....	<u>279</u>	<u>288</u>	<u>298</u>
Subtotal.....	Page.....	844	873	902
Record Index.....	Page.....	421	421	421
Record Indexers.....	Hours.....	83	86	89
B. Miscellaneous Publications.....	Page.....	158	164	169
C. Miscellaneous Publishing and Services	1,000 items....	420	434	449
D. Details to Congress.....	Hours.....	60	60	60
E. Document Envelopes and Franks.....	1,000 items....	146	151	156
F. Business and Committee Calendars.....	Page.....	128	133	137
G. Bills, Resolutions, and Amendments.....	Page.....	42	44	45
H. Committee Reports.....	Page.....	94	97	100
I. Documents.....	Page.....	17	17	18
J. Hearings.....	Page.....	69	71	74
K. Committee Prints.....	Page.....	37	39	40
L. U.S. Code	Page.....	70		

¹ Unit costs are established based on projected workload volumes and costs. Unit costs may require adjustment if actual workload demands differ substantially from projections. GPO does not control actual workload volumes, which are driven by customer requirements. Volume variances may result in actual unit costs that differ from these estimates, due to fixed costs which do not vary directly in proportion to workload.

² The unit cost per page is the number of original pages, and the cost includes all Congressional copies of each category of work. The per page cost for content development for the Daily Congressional Record includes all composition (including file up-date and maintenance for the permanent edition) and prepress costs per original page. The cost for printing includes binding and mailing all of the copies charged to Congress. Based on an average press run, the total production cost includes copies ordered by agencies, depository libraries, and for sale to the public. The rider rate for printing additional copies is 1.54 cents per copy page.

CONGRESSIONAL PUBLISHING APPROPRIATION

Volume¹ Increase/(Decrease)

Category	Unit	2019	Increase/(Decrease)		2020	Increase/(Decrease)		2021
		Total	Quantity	Percent	Total	Quantity	Percent	Total
A. Congressional Record Publishing:								
Daily Record:								
Content Development.....	Page.....	19,600	1,500	7.7	21,100	(1,400)	(6.6)	19,700
Printing.....	Page.....	19,600	1,500	7.7	21,100	(1,400)	(6.6)	19,700
Record Index.....	Page.....	5,700	(600)	(10.5)	5,100	0	0.0	5,100
Record Indexers.....	Hours.....	18,700	0	0.0	18,700	0	0.0	18,700
Miscellaneous Publications.....	Page.....	37,600	(15,400)	(41.0)	22,200	600	2.7	22,800
Miscellaneous Publishing and Services	1,000 items....	40,000	5,000	12.5	45,000	4,800	10.7	49,800
Details to Congress.....	Hours.....	95,000	(1,800)	(1.9)	93,200	4,800	5.2	98,000
Document Envelopes and Franks.....	1,000 items....	3,500	1,000	28.6	4,500	(500)	(11.1)	4,000
Calendars.....	Page.....	27,600	6,300	22.8	33,900	(8,400)	(24.8)	25,500
Bills, Resolutions, and Amendments.....	Page.....	141,900	(15,800)	(11.1)	126,100	2,600	2.1	128,700
Committee Reports.....	Page.....	25,300	3,100	12.3	28,400	(1,200)	(4.2)	27,200
Documents.....	Page.....	35,600	(11,300)	(31.7)	24,300	6,100	25.1	30,400
Hearings.....	Page.....	204,500	18,800	9.2	223,300	(2,800)	(1.3)	220,500
Committee Prints.....	Page.....	28,400	(2,100)	(7.4)	26,300	(3,000)	(11.4)	23,300
U.S. Code	Page.....	58,800	(58,800)	100.0	0	0	0.0	0

¹ Volume is an estimate of anticipated requirements.

GOVERNMENT PUBLISHING OFFICE
CONGRESSIONAL BILLING FOR COMMITTEES BY CATEGORY
During FY 2019

	Daily Cong. Record	Record Index	Record Indexes	Misc. Pub.	Misc. P&S	Details	Doc. Enr.	Doc. Franks	Calendars	Bills	Reports	Documents	Hearings	Committee Prints	TOTALS
House Committees															
U.S. House of Representatives				59,753	1,670,705					551,394		10,465			14,089,677
Clerk of the House	10,316,141	1,401,219		200,623	2,051,331				2,231,056		11,527	5,685			4,500,224
House Members					3,137		486,830								
H. Agriculture					108,197				16,798				48,125	584	489,967
H. Appropriations				68,056	579,804								3,347,671	349,994	173,704
H. Armed Services					110,927								301,990	269	413,886
H. Financial Services					134,847								730,793		865,640
H. Education and the Workforce					127,760								136,386	742	266,888
H. Foreign Affairs					49,202								298,748	1,759	349,709
H. Oversight & Government Reform					88,118								336,822	27,821	452,761
H. House Administration					40,831								76,630	2,492	119,953
H. Natural Resources					140,874								136,825	325	278,024
H. Energy and Commerce					181,665								1,168,061		1,349,726
H. Judiciary					10,839								270,164	14,509	295,512
H. Select Committee on Climate Crisis					1,836								19,988	6,560	28,384
H. Energy Independence															0
H. Transportation & Infrastructure					119,041								175,980	38,821	333,842
H. Rules					1,401								23,910	68,708	84,019
H. Science, Space & Technology					66,062								236,659	444	293,165
H. Veterans Affairs					115,329								134,588	241	250,153
H. Ways and Means				518	16,270								422,435		439,223
H. Small Business													264,580		356,055
H. Commission on Security & Cooperation in Europe				2,053	94,637								35,160		131,850
H. Committee on Ethics				56,528	11,739										68,292
H. Office of the Chief Administrative Officer				157,340	134,471							25			322,479
H. Commission on Congressional Mailing Standards							588					30,668			588
H. Budget					103,192								45,110	17,612	165,914
H. Legislative Counsel					423,248										423,248
H. Homeland Security					91,478								130,933	829	223,240
H. Permanent Select Committee on Intelligence					2,848										2,848
H. US-China Economic and Security Review Commission				28,422	3,600										75,700
H. Select Committee on the Modernization of Congress					1,379						43,678		455		1,834
Total House	10,316,141	1,401,219		0	573,293	6,576,242	0	487,418	0	2,247,856	551,394	55,205	46,843	8,334,013	531,710

GOVERNMENT PUBLISHING OFFICE
CONGRESSIONAL BILLING FOR COMMITTEES BY CATEGORY
During FY 2019

Senate Committees		Daily Cong. Record	Record Index	Record Indexes	Misc. Pubs.	Misc P&S	Details	Doc. Env.	Doc. Franks	Calendars	Bills	Reports	Documents	Hearings	Committee Prints	TOTALS
U. S. Senate		5,352,798	896,178		81,608	713,271				1,418,032	1,873,679	61,899				10,397,465
Secretary of the Senate		811,833			422,632	2,317,487							14,770	25	1,192	3,567,949
Senate Members						1,840,870										1,840,870
S. Sec. - Sergeant at Arms						1,189,478										1,189,478
S. Agriculture, Nutrition & Forestry					9,698	120,078								165,295		165,295
S. Appropriations					58	383,954								89,960		89,960
S. Armed Services					23	114,506								112,190	4,871	501,072
S. Banking, Housing & Urban Affairs					23	222,079								216,020		216,020
S. Commerce, Science & Transportation						191,515								195,707		195,707
S. Finance					345	241,281								193,917		193,917
S. Foreign Relations						230,195								345,500		345,500
S. Homeland Security & Governmental Affairs						109,887				18,143				572,941		572,941
S. Energy and Natural Resources						210,728				13,083				169,034		169,034
S. Judiciary						177,963								271,413		271,413
S. Health, Education, Labor & Pensions						85,095								126,126		126,126
S. Environment & Public Works						175,410								637,596		637,596
S. Rules & Administration						61,507							2,905	16,961		18,866
S. Democratic Policy						4,322								53,596		53,596
S. Republican Policy						6,936								6,936		6,936
S. Small Business & Entrepreneurship						4,022								56,547		56,547
S. Special Committee on Aging						110,226								138,268		138,268
S. Select Committee on Ethics						11,703								28,042		28,042
S. Veterans' Affairs						104,129								96,831		96,831
S. Legislative Counsel						304,609								200,960		200,960
S. Sergeant at Arms					9,015	266,592								304,609		304,609
S. Budget						62,638								275,607		275,607
S. Legal Counsel						3,656								137,988		137,988
S. Select Committee on Intelligence						9,032								29,443		29,443
S. Indian Affairs						106,074								62,009		62,009
Total Senate		6,164,631	896,178	0	523,379	9,379,254	0	0	0	1,449,258	1,873,679	61,899	17,676	3,467,157		197,329 24,030,440

GOVERNMENT PUBLISHING OFFICE
CONGRESSIONAL BILLING FOR COMMITTEES BY CATEGORY
During FY 2019

	Daily Copy Record	Record Index	Record Indexes	Misc. Pubs.	Misc P&S	Details	Doc. Env.	Doc. Franks	Calendars	Bills	Reports	Documents	Hearings	Committee Prints	TOTALS
Joint Committees															
Joint Committee on Printing															\$0
Joint Economic Committee				\$944	\$3,563								\$33,123		\$37,630
Joint Committee on Taxation				\$345	\$9,147									\$105,441	\$114,933
Joint Committee on the Judiciary															\$0
Joint Committee on Labor and Human Resources															\$0
Total Joint Committees	\$0	\$0	\$0	\$1,289	\$12,710	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$33,123	\$105,441	\$152,563
Miscellaneous															
Bylaw															
Architect of the Capitol	\$804,824		\$1,666,762	\$2,048,818	\$7,429,335				\$80,586	\$3,670,202	\$2,330,598	\$476,492		\$6,560	\$18,515,178
Cong-Exec Commission on China					\$43										\$43
Cong-Exec Commission on the Environment					\$173,529								\$25,169		\$19,719
Senate Caucus On Intelligence and Narcotics Control	\$804,824	\$0	\$1,666,762	\$2,048,818	\$7,604,120	\$0	\$0	\$0	\$80,586	\$3,670,202	\$2,330,598	\$476,492	\$25,169	\$23,364	\$18,731,962
Total Miscellaneous	\$804,824	\$0	\$1,666,762	\$2,048,818	\$7,604,120	\$0	\$0	\$0	\$80,586	\$3,670,202	\$2,330,598	\$476,492	\$25,169	\$23,364	\$18,731,962
TOTALS	\$17,285,596	\$2,297,397	\$1,666,762	\$3,147,779	\$23,572,333	\$0	\$0	\$487,418	\$0	\$6,095,275	\$2,447,702	\$441,011	\$11,850,462	\$857,844	\$74,038,279

DETAILS TO CONGRESS AS OF SEPTEMBER 30, 2018 & 2019

	2018	2019
SENATE COMMITTEES		
Aging.....	1	1
Agriculture, Nutrition, and Forestry.....	1	1
Appropriations.....	3	3
Armed Services.....	1	1
Banking, Housing, and Urban Affairs.....	2	2
Budget.....	0	0
Commerce, Science, and Transportation.....	2	2
Energy and Natural Resources.....	1	1
Environment & Public Works.....	2	2
Finance.....	2	2
Foreign Relations.....	2	2
Health, Education, Labor, & Pensions.....	1	1
Homeland Security and Governmental Affairs.....	1	1
Indian Affairs.....	1	1
Judiciary.....	1	1
Rules.....	0	1
Veterans' Affairs.....	1	1
Total Senate Committees.....	<u>22</u>	<u>23</u>
HOUSE COMMITTEES		
Agriculture.....	1	1
Armed Services.....	1	1
Budget.....	1	1
Education and the Workforce.....	1	1
Energy and Commerce.....	2	2
Financial Services.....	2	0
Foreign Affairs.....	0	1
Homeland Security.....	1	1
Natural Resources.....	1	1
Oversight and Government Reform.....	1	1
Science, Space and Technology.....	0	1
Small Business.....	1	1
Transportation and Infrastructure.....	1	1
Veterans' Affairs.....	1	1
Total House Committees.....	<u>14</u>	<u>14</u>
MISCELLANEOUS		
Commission on Security and Cooperation in Europe.....	1	1
China Commission.....	0	1
Congressional Service Center (CRS).....	1	1
House Enrolling Clerk.....	0	0
House Legislative Counsel.....	4	4
House Parliamentarian.....	1	2
Senate Docutech Room.....	1	1
Senate Enrolling Clerk.....	1	1
Senate Legislative Counsel.....	3	3
Senate Official Reporters.....	1	1
Senate Service Department.....	1	1
House Law Revision.....	2	2
Total Miscellaneous.....	<u>16</u>	<u>18</u>
SUMMARY		
Senate Committees.....	22	23
House Committees.....	14	14
Miscellaneous.....	<u>16</u>	<u>18</u>
	<u>52</u>	<u>55</u>

GOVERNMENT PUBLISHING OFFICE
PUBLIC INFORMATION PROGRAMS OF THE SUPERINTENDENT OF DOCUMENTS
SALARIES AND EXPENSES
 (INCLUDING TRANSFER OF FUNDS)
 Fiscal Year 2021

Proposed Appropriation Language:

For expenses of the public information programs of the Office of Superintendent of Documents necessary to provide for the cataloging and indexing of Government publications in any format, and their distribution to the public, Members of Congress, other Government agencies, and designated depository and international exchange libraries as authorized by law, [\$31,296,000] *\$32,300,000: Provided*, That amounts of not more than \$2,000,000 from current year appropriations are authorized for producing and disseminating Congressional serial sets and other related publications for *the preceding two* fiscal years [2018 and 2019] to depository and other designated libraries: *Provided further*, That unobligated or unexpended balances of expired discretionary funds made available under this heading in this Act for this fiscal year may be transferred to, and merged with, funds under the heading "Government Publishing Office Business Operations Revolving Fund" no later than the end of the fifth fiscal year after the last fiscal year for which such funds are available for the purposes for which appropriated, to be available for carrying out the purposes of this heading, subject to the approval of the Committees on Appropriations of the House of Representatives and the Senate. (*Legislative Branch Appropriations Act, 2020.*)

Base Budget Review:

Description of Programs

The Public Information Programs of the Superintendent of Documents Salaries and Expenses Appropriation administers: (1) the Federal Depository Library Program (FDLP); (2) the cataloging and indexing of Government publications; (3) the distribution of certain Government publications to Members of Congress and other Government agencies, as designated by law; and (4) the distribution of Government publications in the International Exchange Service.

A total appropriation of \$32,300,000 is being requested for FY 2021. This is an increase of \$1,004,000 from the FY 2020 request. Increases in FY 2021 costs are due to mandatory personnel increases and projected inflation. The FY 2020 FTE level of 100 remains the same in FY 2021.

By Law Distribution Program

In FY 2021, the requested amount is \$323,000 for the By Law Distribution Program. Under various provisions of Title 44, U.S.C., GPO distributes certain tangible publications to recipients designated by law. Two or more copies of every publication printed by GPO are provided to Library of Congress (LOC), even if the publication is not distributed to the Federal depository libraries. In addition, the National Archives and Records Administration (NARA) receives up to three copies of printed publications. GPO also maintains mailing lists of specific publications that are designated to be distributed by law and provides copies of publications to foreign legations as directed by the State Department.

Cataloging and Indexing (C&I) Program

For FY 2021, the requested amount is \$10,013,000 to administer the Cataloging and Indexing Program. Under the requirements of sections 1710 and 1711 of Title 44, U.S.C., GPO is charged

with creating access to all Federal Government publications that are not confidential in nature via catalogs and indexes. The principal tool to do that is the web-based Catalog of U.S. Government Publications (CGP) (<https://catalog.gpo.gov>) that has close to 1,000,000 records identifying and providing access to tangible and digital Federal Government publications. In FY 2019, there were over 29,000,000 successful searches of the CGP, and close to 23,000 new records for tangible and online titles were added to the catalog. GPO's goals for the CGP are to expand this catalog to be a comprehensive title listing of all public Federal Government publications, both historic and current in all formats, and increase the visibility and use of Government information products. Work continues to modernize the software platform for the CGP and provide new methods to increase access to U.S. Government information using prior year funds. In FY 2021, the focus will be to implement an outreach program to agencies to ensure that digital only materials are included in the CGP and harvesting of agency web content will be increased.

A major undertaking of the C&I program is the National Bibliographic Records Inventory Initiative (NBRII). The initiative comprises various multi-year projects to bring fugitive material and historic publications under bibliographic control and to make those records available through the CGP. In FY 2021, LSCM continues to work on multiple NBRII tasks. With the transcription of the historic Shelflist nearing completion in FY2019, LSCM evaluated the historic Shelflist project and will be implementing the next steps identified to complete work on the Shelflist in FY 2020 and FY 2021. In FY 2019, LSCM entered into a partnership agreement with the Library of Congress to catalog newly released Congressional Research Services (CRS) reports and through these efforts and other work with partners, over 7,000 titles were identified and cataloged. In FY 2020 and 2021, LSCM continues efforts to identify and reach out to new library partners in efforts to help identify fugitive content for cataloging and to increase bibliographic content that is available via the CGP.

Federal Depository Library Program (FDLP)

In FY 2021, the requested amount is \$21,318,000 for the administration of the Federal Depository Program. As authorized by chapter 19 of Title 44, U.S.C., the mission of the FDLP is to disseminate information products from all three branches of the Federal Government to 1,123 libraries nationwide designated as Federal depository libraries, directly by law or as depositories designated by their Representatives and Senators. Federal depository libraries maintain and provide free access to Federal Government information products to the public. Providing free online access to Government publications is established under the authority of chapter 41 of Title 44, U.S.C., via **govinfo** (www.govinfo.gov).

In FY 2019, 3,639 tangible titles consisting of 713,616 copies were distributed to Federal depository libraries. In keeping with the direction of the Legislative Appropriations Act for FY 1996, GPO has transitioned the FDLP to a predominantly digital electronic program. In FY 2019, **govinfo** grew to make more than 2.6 million titles from the legislative, executive, and judicial branches available online from our servers and through links to other agencies and institutions. The costs of the program are related to identifying, acquiring, cataloging, linking to, authenticating, modernizing, and providing permanent public access to digital Government information. In FY 2020, the SuDocs organization will continue to spend prior year re-programmed funds of \$2,785,000 that are being used for general development of the system and continual ingest of new and historic content through digitization projects in addition to on-going maintenance and support for **govinfo** and digital repository infrastructure assessment. In addition, the SuDocs organization will utilize funds for the continued development and

enhancement of the FDLP eXchange, the depository community's online tool for exchanging Government publications nationwide, in order to enhance depository collections and place publications where they are needed most.

In FY 2021, prior year funds will also be used on projects that support the libraries and administration of the FDLP. Projects include the management of the Regional Discard process; migration of legacy applications; systems maintenance and security enhancements; continued implementation of a new Customer Relations Management services (SalesForce); education, training, and outreach activities to support libraries in the FDLP; services to support the preservation of historic documents in library collections; and program and service assessment.

International Exchange Service

For FY 2021, the requested amount is \$646,000 to administer the International Exchange Service. As authorized by Section 1719 of Title 44, U.S.C., and pursuant to an international treaty establishing the exchange of official publications, GPO distributes U.S. Government publications in microfiche, print and tangible electronic formats to foreign governments. In exchange, those foreign governments agree to send their similar government publications to the United States for deposit at the Library of Congress (LOC). LOC designates which publications are to be distributed abroad and GPO performs the actual distribution. In FY 2019, a total of 105,508 copies and 1,211 boxes of materials were sent to International Exchange Service partners.

**Government Publishing Office
Public Information Programs
Superintendent of Documents
Salaries and Expenses**
Analysis of Change 2020 to 2021
(Dollars in Thousands)

	2021 Agency Request	
	FTE	Amount
FY 2020	100	\$ 31,296
FY 2021		
Mandatory Pay and Related Costs		
Annualization of FY 2020 pay raise	-	87
Pay raise for FY 2021	-	228
Within-grade increases for FY 2021	-	100
FERS increase for FY 2021	-	125
Decrease of 1 work day in FY 2021	-	(39)
Total Mandatory Pay and Related Costs	-	501
Total Price Level Changes	-	503
Program/Project/Activity Increases/Decreases for FY 2021		
SalesForce CRM implementation and system migration		1,200
Congressional mandated reports projects		1,000
Digitization, processing and cataloging of historic documents for ingest in govinfo		1,100
National collection pilot projects for FDLP libraries		763
Use of prior year appropriation transfer funds for approved program activities		(4,063)
Total Program/Project/Activity Increases (Decreases) for FY 2021	-	-
Total Net Change	-	1,004
Total 2021 Appropriation	100	\$ 32,300

**Government Publishing Office
Public Information Programs
Superintendent of Documents
Salaries and Expenses
Summary
(Dollars in Thousands)**

	FY 2019 Actual (1)	FY 2020 P.L. 116-94 (2)	FY 2021 Requested (3)	FY 2020/2021 Net Change	
<u>Summary by Program</u>					
By Law Distribution	\$ 338	\$ 317	\$ 323	\$ 6	(4)
Cataloging and Indexing	9,997	9,200	10,013	813	(4)
Federal Depository Library	21,000	21,100	21,318	218	(4)
International Exchange	665	679	646	(33)	(4)
Total Appropriation	\$ 32,000	\$ 31,296	\$ 32,300	\$ 1,004	
<u>Summary by OMB Object Class</u>					
11 Personnel Compensation	\$ 8,871	\$ 10,141	\$ 10,520	\$ 379	(5)
12 Personnel Benefits	2,772	3,580	3,702	122	(6)
21 Travel	165	73	121	48	(7)
22 Transportation of Things	475	733	751	18	(7)
23 Rents Communications and Utilities	143	130	133	3	(7)
24 Printing and Reproduction	9,572	6,239	6,395	156	(7)
25 Other Services	9,790	10,174	10,446	272	(8)
26 Supplies and Materials	212	226	232	6	(7)
Total Appropriation	\$ 32,000	\$ 31,296	\$ 32,300	\$ 1,004	

- (1) Actual and obligated expenditures against the 2019 S&E Appropriation through 09/30/19.
- (2) FY 2020 approved and obligated funding through 09/30/2020. (Further Consolidation Appropriations Act, 2020 , P.L. 116-94). The amount requested was \$31,296,000.
- (3) Requested amount is based on FY 2020 funding levels with mandatory increases for FY 2021 salary and all non-salary categories. Personnel compensation was calculated based on staffing needs, inflation, 1.2% increase in FERS contributions.
- (4) Amount reflects mandatory increases for personnel and price level increases with a reduced request for Other Services for Cataloging and Indexing and **govinfo** projects that are to be funded through prior-years transfer funds.
- (5) Amount reflects the funding of merit and within grade and mandatory pay increases for 100 FTEs for FY 2021.
- (6) Reflects anticipated benefit expenditures of 34% of the Personnel Compensation plus 1.2% increase in agency contribution to FERS.
- (7) Reflects price level increase due to inflation.
- (8) Includes Workers' Compensation, Shared Services, overhead, depreciation on equipment and contractual services. Inflation has been applied to all categories.

**GOVERNMENT PUBLISHING OFFICE
BUSINESS OPERATIONS
REVOLVING FUND
Fiscal Year 2021**

Proposed Appropriations Language:

For payment to the Government Publishing Office Business Operations Revolving Fund, [\$6,704,000] \$6,700,000, to remain available until expended, for information technology development and facilities repair: *Provided*, That the Government Publishing Office is hereby authorized to make such expenditures, within the limits of funds available and in accordance with law, and to make such contracts and commitments without regard to fiscal year limitations as provided by section 9104 of title 31, United States Code, as may be necessary in carrying out the programs and purposes set forth in the budget for the current fiscal year for the Government Publishing Office Business Operations Revolving Fund: *Provided further*, That not more than \$7,500 may be expended on the certification of the Director of the Government Publishing Office in connection with official representation and reception expenses: *Provided further*, That the Business Operations Revolving Fund shall be available for the hire or purchase of not more than 12 passenger motor vehicles: *Provided further*, That expenditures in connection with travel expenses of the advisory councils to the Director of the Government Publishing Office shall be deemed necessary to carry out the provisions of title 44, United States Code: *Provided further*, That the Business Operations Revolving Fund shall be available for temporary or intermittent services under section 3109(b) of title 5, United States Code, but at rates for individuals not more than the daily equivalent of the annual rate of basic pay for level V of the Executive Schedule under section 5316 of such title: *Provided further*, That activities financed through the Business Operations Revolving Fund may provide information in any format: *Provided further*, That the Business Operations Revolving Fund and the funds provided under the heading "Public Information Programs of the Superintendent of Documents" may not be used for contracted security services at Government Publishing Office's passport facility in the District of Columbia. (*Legislative Branch Appropriations Act, 2020.*)

Base Budget Review:

By law, GPO's Business Operations Revolving Fund is used to finance GPO's publishing operations. Approximately 78 percent (excluding Security and Intelligent Documents) of GPO's publishing revenue is from procuring publications and related services for customer agencies. This work is procured through GPO's Customer Services business unit utilizing the private sector printing and information product industry. The majority of the Government's publishing requirements are effectively satisfied through this procurement activity because the highly competitive process provides access to the vast resources, expertise, and specialization within the commercial sector at the most cost effective price.

GPO's in-plant facility provides digital and tangible products in support of the information and day-to-day business needs of Congress and Federal agencies. GPO produces the *Congressional Record* overnight when Congress is in session, and bills, hearings, documents, reports and committee prints in time to support Congress' legislative needs. Also produced are the *Federal Register*, the *Code of Federal Regulations*, and other key Government documents, such as the annual *U.S. Budget*.

GPO plays a critical role in America's security by producing secure Federal credentials, including the U.S Passport for the Department of State that combine digital and print security measures. GPO's publications sales program provides the public with an opportunity to purchase a wide variety of low cost, consumer-oriented publications, Congressional documents, and Executive and Judicial publications.

Thousands of titles are available for sale in many formats, including books, CDROMs, eBooks and other digital formats and can be ordered through GPO's secure Online Bookstore site at <https://bookstore.gpo.gov> or from GPO's bookstore in Washington, D.C. GPO also provides warehousing and publication distribution services for Federal agencies on a reimbursable basis through warehouses in Laurel MD and in Pueblo, CO.

BUSINESS OPERATIONS REVOLVING FUND REQUESTS

For FY 2021, GPO is requesting a total of \$6,700,000 for the Revolving Fund to remain available until expended, for the following projects:

govinfo Projects	
General System and Collection Development	\$3,500,000
Infrastructure	<u>3,050,000</u>
Total govinfo	6,550,000
Cybersecurity Projects	
Security Enhancements for Advanced Persistent Threat	\$ <u>150,000</u>
Total Revolving Fund Project Requests	<u>\$6,700,000</u>

govinfo Projects

General System and Collection Development (\$3,500,000). Development of new **govinfo** features to support identified needs of key stakeholders, including developing new content collections, increasing content in existing collections, enhancing the accessibility of content and increasing the discoverability of information.

Infrastructure (\$3,050,000). Infrastructure for hardware, storage, and environments to manage system performance as **govinfo** content and usage grows.

Cybersecurity Projects

Security Enhancements for Advanced Persistent Threat (\$150,000). The cybersecurity threat environment faced by government agencies continues to change rapidly and presents substantive risks and dangers to organizations. The requested funding is planned to address that evolving threat environment by implementing enhanced IT security systems that are intended to reduce the risk of unauthorized data exfiltration, unauthorized access, unauthorized changes to data, and other impacts.

GOVERNMENT PUBLISHING OFFICE
BUSINESS OPERATIONS REVOLVING FUND
 Analysis of Change FY 2020 to FY 2021
 (Dollars in Thousands)

FY 2021 Agency Request	
FTE	Amount
Obligations, FY 2020	1,660 \$ 900,863
Mandatory Pay and Related Costs	
Annualization of FY 2020 pay raise	- 1,920
Pay raise for FY 2021	- 4,910
Within-grade increases for FY 2021	- 2,182
FERS increases for FY 2021	- 2,035
Decrease of 1 work day for FY 2021	- (878)
Total Mandatory Pay and Related Costs	- 10,169
Total Price Level Changes	- 15,855
Non-recurring Costs - Equipment to be obligated in FY 2020	- (48,431)
Program/Project/Activity Increases for FY 2021	
Capital expenditures equipment, systems, and facilities	- 22,791
Capital Expenditures to be funded by an Appropriation	
Security Enhancements for Advance Persistent Threat	- 150
govinfo General System & Collection Development	- 3,500
govinfo Infrastructure	- 3,050
Total Expenditures to be funded by an Appropriation	- 6,700
Net change requested	- \$ 7,085
Total Budget FY 2021	1,660 907,948
Offsetting Collections	- 901,248
Total FY 2021 Appropriation	- \$ 6,700

Note: Includes funding for the Office of Inspector General.

GOVERNMENT PUBLISHING OFFICE
BUSINESS OPERATIONS REVOLVING FUND
 Summary By Object Class
 (Dollars in Thousands)

Object Class	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Net Change
11 Personnel Compensation	\$ 157,916	\$ 158,862	\$ 164,789	\$ 5,926
12 Personnel Benefits	54,801	59,354	63,597	4,243
21 Travel	743	1,135	1,164	28
22 Transportation of Things	9,520	9,779	10,023	244
23 Rents, Communications and Utilities	17,649	19,588	20,078	490
24 Printing and Reproduction	404,807	373,629	382,969	9,341
25 Other Services	46,951	62,124	63,676	1,552
26 Supplies and Materials	181,783	167,961	172,161	4,200
31 Equipment	28,333	48,431	29,491	(18,940)
Total Budget	\$ 902,502	\$ 900,863	\$ 907,948	\$ 7,085

Note: Includes funding for the Office of Inspector General.

**Congressional Publishing Appropriations
Transfer Carryover Spending Plan
As of September 30, 2019**

	<u>Total</u>
Unexpended Balance, September 30, 2019.....	\$41,666,193
Requirements:	
Estimated shortfalls, FY 2021 and prior years.....	11,098,431
Composition System Replacement/XPub.....	19,227,367
CSR Office Renovation.....	428,900
USLM Projects:	
Documents in USLM Project (remaining funding and option years).....	437,200
USLM Project for Statutes Compilations.....	901,995
Enhance the USLM Ecosystem.....	2,000,000
Prototype Digitization Statutes at Large in USLM XML.....	500,000
Legislative XML Working Group/Bulk Data Task Force Projects.....	<u>484,300</u>
Subtotal, USLM Projects.....	4,323,495
Congressionally Mandated Reports.....	500,000
Primary Data Center.....	<u>6,088,000</u>
Total.....	41,666,193
Estimated FY 2015 Transfer Request.....	4,441,363
Requirements:	
Composition System Replacement/XPub.....	4,441,363

**Public Information Programs Appropriations
Transfer Carryover Spending Plan
As of September 30, 2019**

	<u>Total</u>
Unexpended Balance, September 30, 2019.....	\$16,020,371
Requirements:	
Collection Preservation of New and Historical Documents.....	3,593,784
Outreach Activities and Program Support for Federal Depository Libraries.....	885,217
Continued Development of gov.info Content and Capabilities.....	2,522,944
Modernization of Outdated and Unsupported FDLP Systems.....	7,700,164
Reserve Funds for Printing and Other Unanticipated Shortfalls.....	1,318,262
Total.....	16,020,371
Estimated FY 2015 transfer request.....	4,600,000
Projects include: Program system infrastructure modernization including the implementation of modules of Salesforce and enhancements to the Catalog of U.S. Government Publications (CGP); collection development activities including digitization of historic content for ingest into govinfo; preservation of collections in Federal Depository Libraries; and other activities to support the libraries in the FDLP.	
Total.....	4,600,000

CONGRESSIONAL PUBLISHING APPROPRIATIONS TRANSFER OF FUNDS NARRATIVE

Composition System Replacement (CSR)/XPub

As previously noted, GPO is developing a new XML-based composition system to replace our proprietary Microcomp system, known as XPub (formerly known as the Composition System Replacement (CSR) project). Successful development and deployment of XPub will enable the GPO to create, edit, proof, approve and simultaneously publish legislative and regulatory documents in both print and digital formats from a variety of sources—including digital documents and hard-copy manuscripts—in a high-volume production environment, while continuing the GPO's legacy of quality and typographic excellence. XPub is intended to be implemented on a product-by-product basis. In 2019, GPO took a major step forward by publishing the 2018 Main Edition of the United States Code through XPub. Through XPub, GPO was able to compose the nearly 60,000-page publication in less than a year. GPO is well underway in efforts to bring additional publications into production through XPub, including Congressional Bills, Resolutions, and Amendments, Public Laws, Statutes at Large, House and Senate calendars, the Congressional Record, and the Federal Register.

Composition System Office Renovation

The CSR project is replacing is replacing the more than 30-year-old MicroComp composition process with a state-of-the-art composition system called XPub. As the CSR project moves into a new phase, it is important to provide adequate, modernized workspace for up to 10 personnel. GPO is renovating space on the 2nd floor of Building A.

Legislative XML Working Group/Bulk Data Task Force Projects

House Report 112-511 that accompanied H.R. 5882 the Legislative Branch Appropriations Act of 2013 directed the establishment of the Bulk Data Task Force to examine the increased dissemination of Congressional information via bulk data download by non-governmental groups to support openness and transparency in the legislative process. A 1996 directive from the House Committee on Administration and the Senate Committee on Rules and Administration to the Clerk of the House and the Secretary of the Senate established common data standards for the exchange of legislative information among legislative branch organizations (2 U.S.C. 181). Through the Bulk Data Task Force in coordination with the Legislative XML Working Group, GPO supports Congress by leading initiatives to create, transform, exchange, and disseminate legislative documents in XML format including projects to expand the use of the United States Legislative Markup (USLM) XML schema in the Legislative Branch. In addition, the Clerk of the House has laid out a strategy and priority for moving legislative publications into USLM XML, and GPO anticipates requests from Congress to lead these projects.

Documents in USLM Projects

In support of the Legislative Branch Bulk Data Task Force, and in collaboration with Office of the Clerk of the House, the Office of the Secretary of the Senate, and the Office of the Federal Register, GPO completed a project to make available on **govinfo** a subset of enrolled bills, public laws, and the Statutes at Large in Beta USLM XML. GPO also completed initial deliverables on a related project to convert a subset of the Federal Register and Code of Federal Regulations into Beta USLM XML. The goal of the project was to convert legacy formats into Beta USLM XML in order to provide a uniform set of laws to enable downstream processes

and increase efficiencies. GPO anticipates additional requests from Congress to lead similar projects in the future.

USLM Project for Statute Compilations

In support of the Legislative Branch Bulk Data Task Force, and in collaboration with the Office of the Legislative Counsel of the U.S. House of Representatives, the Office of the Legislative Counsel of the U.S. Senate, the Clerk of the House, and the Secretary of the Senate, GPO is making select Statute Compilations available in PDF format on **govinfo**. A set of 319 Compilations is now available on **govinfo** in PDF format and additional Statute Compilations will be added over time. This effort is the first phase of a project to provide a uniform set of laws in United States Legislative Markup (USLM) to enable downstream processes and increase efficiencies. The second phase of this project is to convert legacy Statute Compilations files into Beta USLM XML and provide access to those files on **govinfo**. Procurement activities are underway for the second phase of the project.

Primary Data Center

The GPO currently uses ACF as a primary data center facility. With recent service outages and system failures due to electrical and air-conditioning failures, GPO has decided to move the primary data center. GPO received authorization from the Joint Committee on Printing (JCP) to quickly pursue moving the GPO's IT operations from ACF to IronMountain data center facility in Manassas, Va. GPO professionals are currently working on transition plans and preliminary estimates show that initial set-up investments will be required in both FY 2020 and FY 2021. GPO also estimates that the operation of this facility will entail annual recurring costs, separate and apart from the initial set-up investments. The data center located at the main GPO building will be converted to a backup data center facility.

**PUBLIC INFORMATION PROGRAMS OF THE
SUPERINTENDENT OF DOCUMENTS
TRANSFER OF FUNDS NARRATIVE**

Collection Preservation of New and Historical Documents

Funds are for projects to acquire new content in scope of the FDLP, including web harvesting and projects targeting agency fugitive documents acquisitions. Funding will also include projects and activities to acquire, prepare, process, catalog and digitize key historic U.S. Government publications in scope of the Federal Depository Library Program for ingest into **govinfo**. These activities will also include processing, cataloging and ingest of digitized materials from libraries in the FDLP. Funding is also used to assist libraries in the preservation of tangible historic document collections that are being housed in FDLP libraries. Funding will also be used for special projects to increase access to collections of materials, such as Congressionally Mandated Reports and Documents and the completion of the Historic Shelflist project.

Outreach Activities and Program Support for Federal Depository Libraries

Funds are used for projects to support the libraries in the Federal Depository Library Program. Projects include; continuing education and training opportunities, visits and consulting services, marketing and promotion of FDLP library services to the general public. Projects may also include investigations of new methods to assist libraries as they use more digital government information resources to serve the public.

Continued Development of govinfo Content and Capabilities

Funds are used for projects that help to increase access to new content in **govinfo**. These projects include the development of new collections of content for ingest and the enhancement of existing collections, when additional digitized content is available for ingest. Funding may also be used for additional storage needed for large collection and processing of new content during the ingest process. Funds would also be used to support system enhancements for improved functionality, including procurement of PII redaction services so that content can be reviewed prior to content ingest.

Modernization of Outdated and Unsupported FDLP Systems

Funds are used to investigate new technologies for use by the FDLP and Cataloging and Indexing Program and other programs managed by the Superintendent of Documents. This includes the replacement and modernization of outdated and unsupported systems, the implementation of new systems and services to better serve key stakeholders and the public. Funds would also be used for projects to improve systems that support program operations.

Reserve Funds for Printing and Other Unanticipated Shortfalls

Funds are held in reserve.

GOVERNMENT PUBLISHING OFFICE
Fiscal 2019
Advertising Services Contracts

Contract Title	Project #	Vendor	Service Unit	Obligations \$	If advertising is only part of the contract, list partial amount here \$	Socially & Economically Disadvantaged Small Business	Minority-owned Business	Women-owned Business	All other businesses
USAJOBS	6512.28	Office of Personnel Management	0875	\$ 246,000		✓	✓	✓	✓
Publicize Service Announcement	Credit Card	North American Precis Syndicate	9160	5,500				✓	✓
Exhibit Booth	Credit Card	Post Upstand	9160	1,885					✓
CGP Carpenter Pencils	Credit Card	Discount Mugs	9160	3,650					✓
Preservation Steward Notecards	Credit Card	FedEx	9160	1,593					✓
Lunch Bags for FDL Conference	Credit Card	Four Star Marketing Inc.	9160	1,846					✓
LibGuide Highlighter	Credit Card	4Imprint	9160	350					✓
Promotional Material	Credit Card	4Imprint	4310	2,033					✓
GovDelivery	6522.13	Granicus	9260	85,000					✓
GovDelivery	PO 7655	Granicus	4327	30,300					✓
TOTAL:				\$ 378,157					

GOVERNMENT PUBLISHING OFFICE
OFFICE OF THE INSPECTOR GENERAL
 Analysis of Change FY 2020 to FY 2021
 (Dollars in Thousands)

FY 2021 Agency Request	
FTE	Amount
Obligations, FY 2020	22 \$ 5,360
Mandatory Pay and Related Costs:	
Annualization of FY 2020 pay raise	- 8
Pay raise for FY 2021	- 88
Within-grade increases for FY 2021	- 38
FERS increases for FY 2021	- 92
Decrease of 1 work day for FY 2021	- (14)
Transit Benefit Increase (Additional FTEs Enrolled)	- 15
Performance Award Increase	- 7
Total Mandatory Pay and Related Costs	- 234
Total Price Level Changes	- 16
Non-recurring Costs:	
Non-Capitalized Info Tech for New Hires	- (12)
Supplies & Materials for Office Renovation	- (20)
Office Renovation & Furniture Upgrades (to be completed in FY 2020)	- (197)
	- (229)
Program/Project/Activity Changes for FY 2021:	
Additional FTE's for FY 2021	2 307
OIG Editor (no longer needed for FY 2021)	- (19)
FECA Investigative Support (no longer needed for FY 2021)	- (45)
Financial Audit Contract Evaluation	- 50
Strategic Assessment of OIG Responsibilities & Messaging to Stakeholders	- 75
OIG Branding Project	- 40
EA and Audit & Inspection Reporting Contract Help	- 300
CIGIE Membership Fees	- 3
Total Program/Project/Activity Increases	2 711
Net change requested	- \$ 732
Total Budget FY 2021	24 6,092

NOTE: Included in the GPO Business Operations Revolving Fund Schedules.

**GOVERNMENT PUBLISHING OFFICE
OFFICE OF THE INSPECTOR GENERAL**
Summary By Object Class
(Dollars in Thousands)

Object Class	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request	FY 2020/2021 Net Change
11 Personnel Compensation	\$ 1,891	\$ 3,083	\$ 3,459	\$ 376
12 Personnel Benefits	651	1,134	1,298	165
21 Travel	33	89	92	2
22 Transportation of Things	-	-	-	-
23 Rents, Communications and Utilities	-	-	-	-
24 Printing and Reproduction	-	-	-	-
25 Other Services	973	739	1,154	415
26 Supplies and Materials	45	118	88	(30)
31 Equipment	-	197	-	(197)
Total Budget	\$ 3,594	\$ 5,360	\$ 6,092	\$ 732

NOTE: Included in the GPO Business Operations Revolving Fund Schedules.

**GOVERNMENT PUBLISHING OFFICE
OFFICE OF THE INSPECTOR GENERAL
OPEN RECOMMENDATIONS**

14-07 Changes Can Be Made To Provide GPO Better Information on Establishing Billing Rates for Congressional Hearings	3/24/2014	14-07-03 Conduct an analysis that will determine system requirements required to further develop and implement a comprehensive management cost accounting system in support of the establishment of congressional billing rates for congressional hearings (Product Code 83). The analysis should determine the feasibility of fully automating and integrating GPO's Plant Operations workflow systems and processes with GPO's financial systems.	Finance	<p>This recommendation entails the following long-term projects: Replace the mainframe PEPS production planning and estimating system with EFI; Replace the mainframe PROBE shop floor data collection system, also with EFI; Implement a Management Cost Accounting System (MCAS) that will interface with Oracle Projects (led by EFI) to enable implementing processes.</p> <p>Tasks accomplished in FY 2019 are: Finalizing EFI module set-ups and configurations, Contracting activities for EFI implementation services, MCAS developers conducting system-to-system data validations, End-user system familiarization and training activities commenced on MCAS. The MCAS was live in June 2019. It will begin collecting data for analysis and proactive costing activities.</p> <p>Planned activities in FY 2020 are stand-up of the new Manufacturing Workflow System (MWS) – EFI implementation stands up will enable the estimating part of EFI to be deployed), develop shop floor data transfer/interface from EFI to Oracle Projects, determine ancillary requirements from EFI for PROBE-like support.</p>
17-08 Financial Management Unbilled Congressional Publication Jackets	3/28/2017	17-08-01 Develop and implement a process by which unbilled jackets can be monitored effectively.	Finance	<p>Finance and Plant Operations continue to work on the shop floor reporting system that should replace both PROBE and PEPS (see response to finding 14-07-03 (above)). The EFI system being implemented has exception reporting and workflow capabilities that should improve the monitoring of open work jackets. The interim process to address this issue continues in FY 2020 as it did in FY's 2018 and 2019: Finance will send an aged list of unbilled Congressional work in process (developed from Oracle Projects) to the Official Journals of Government (OJG) business unit, for their follow-up and action. In FY 2019, reports were sent to OJG monthly, October through September. This procedure will continue into FY 2020.</p>
		17-08-02 Clear the unbilled jackets by taking necessary action on the 1,084 unbilled jackets.	Finance	<p>Finance continues to work with GPO's Official Journals of Business to close out all 1,084 unbilled jackets cited in this audit report. Of the 1,084 jobs, 80% have now been billed, and 20% remain open as work in process. The majority, 92%, of the open/work in process jackets are Serial Sets. These are continuously worked on while Congress is in session, and may take up to 4 years to complete.</p>

There are 3 Recommendations on Which Corrective Action Has Not Been Completed in More Than 1 Year.

Last status update 10/15/2019



United States Government Accountability Office

Fiscal Year 2021 Performance Budget

GAO



Government Accountability Office – Fiscal Year 2021 Budget Proposal

GAO's fiscal year (FY) 2021 budget requests **\$706.142 million** in appropriated funds and utilizes **\$36.321 million** in total offsets. These resources will support 3,250 full-time equivalents (FTE) and continue critical building and information technology investments that will We will continue our hiring focus on the Science, Technology Assessment, and Analytics team, entry-level and intern positions to address succession planning, and on filling critical skill gaps. These efforts will help ensure that GAO recruits and retains a talented and diverse workforce to meet the priority needs of the Congress.

The funding requested will also support priority investments in our information technology to improve our work product and enable our staff to be more efficient. It will also help address building infrastructure, security requirements, as well as address long deferred maintenance needs. As reported in our FY 2019 financial statements, GAO's backlog of deferred maintenance on its Headquarters Building **had grown to over \$80 million** as of fiscal year-end.

With the support this Subcommittee has provided, GAO has identified over \$1.1 trillion dollars in financial benefits and more than 23,000 program and operational benefits since 2002. In FY 2019 alone, GAO's work yielded a record **\$214.7 billion in financial benefits**, a return of about **\$338 for every dollar invested** in GAO. We also identified 1,418 other benefits that led to improved services to the American people, strengthened public safety, and spurred program and operational improvements across the government.

In addition, GAO reported on 35 areas designated as high risk due to their vulnerabilities to fraud, waste, abuse, and mismanagement or because they face economy, efficiency, or effectiveness challenges. These FY 2019 High Risk Series products alone resulted in 163 reports, 44 testimonies, \$170.8 billion in financial benefits, and 710 other benefits.

In FY 2021, we will continue to support Congressional oversight across the wide array of government programs and operations. In particular, the Science, Technology Assessment, and Analytics team **will continue to expand our focus on rapidly evolving science and technology issues**. The team focuses on: (1) conducting technology assessments at the request of the Congress; (2) providing technical assistance to Congress on science and technology matters; (3) continuing the development and use of technical guides to assess major federal acquisitions and technology programs in areas such as technology readiness, cost estimating, and schedule planning; (4) supporting Congressional oversight of federal science programs; and (5) advancing GAO's ability to use data analytics in auditing federal programs.

With additional funding we will also bolster our capabilities to review the opportunities and challenges associated with the risks and management needs to address complex and growing cyber security developments; increased investments in the Department of Defense; and rising health care costs.

We remain committed to providing program and technical expertise to support Congress in overseeing the executive branch; evaluating government programs, operations and spending priorities; and assessing information from outside parties. GAO is recognized for its non-partisan, first-hand, objective, fact-based, and reliable analyses across the full breadth and scope of the federal government's extensive interests.



U.S. GOVERNMENT ACCOUNTABILITY OFFICE

441 G St. N.W.
Washington, DC 20548

Comptroller General
of the United States

January 28, 2020

The Honorable Tim Ryan, Chairman
The Honorable Jaime Herrera Beutler, Ranking Member
Subcommittee on Legislative Branch
Committee on Appropriations
House of Representatives

I would like to express my appreciation for the support this Subcommittee has shown GAO. With this support, GAO has identified over \$1.1 trillion dollars in financial benefits and more than 23,000 program and operational benefits since 2002. In fiscal year (FY) 2019, GAO's work yielded a record \$214.7 billion in financial benefits, a return of about \$338 for every dollar invested in GAO. We also identified 1,418 other benefits that led to improved services to the American people, enhanced public safety, and strengthened programs and operations across the government.

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For FY 2021, GAO is requesting \$706 million in appropriated funds, an increase of \$76 million compared with the FY 2020 enacted level, and authority to use \$31.3 million in offsetting receipts and reimbursements. These resources will support 3,250 full-time equivalent (FTE) positions. The funding requested will also support priority investments in our information technology and building infrastructure, security requirements, as well as address long deferred needs. As reported in our FY 2019 financial statements, GAO's backlog of deferred maintenance on its 69 years old Headquarters Building had grown to over \$80 million as of fiscal year end.

This level of funding will enable GAO to meet the highest priority needs of the Congress and support Congressional oversight across the wide array of government programs and operations. The activities planned for FY 2021 will better position GAO to assist the Congress in meeting its legislative and oversight responsibilities, accomplish our mission objectives and goals, and improve government performance and accountability.

Moving forward, GAO will continue to build on bodies of work related to our three broad strategic goals for supporting Congress and the Nation, to (1) address current and emerging challenges to the well-being and financial security of the American people; (2)

help the Congress respond to changing security threats and the challenges of global interdependence; and (3) help transform the federal government to address national challenges.

Highlights from FY 2019 Results

GAO's mission is to support the Congress in meeting its constitutional responsibilities, and to help improve the performance and ensure the accountability of the federal government for the benefit of the American people. Our FY 2019 performance results demonstrate GAO's unwavering commitment to our role as the Congress' watchdog.

Financial Benefits

In FY 2019, we documented a record \$214.7 billion in financial benefits for the government—a return of about \$338 for every dollar invested in us. Our average return for the last five years is about \$171 to \$1. We have also reached a return of at least \$100 to \$1 for seven of the last eight years. Examples of our financial benefits included contributing to the (1) reductions in the Department of Defense's (DOD) procurement costs for weapon systems acquisitions (\$136.1 billion); (2) reductions in the Department of Education's cost estimates for student loans (\$24.2 billion); and (3) improvement in the Internal Revenue Service's (IRS) efforts to combat identity theft refund fraud (\$900.2 million).

Legislative Impacts

The Congress continues to use GAO's work to inform key legislative decisions. Recent examples linked directly to GAO's work include:

- **The Appropriations Act of 2020 (and explanatory statements).** Based on GAO's work, Congress required agencies to submit reports on their progress in implementing GAO recommendations related to
 - simplifying, and increasing transparency and outreach for a student loan forgiveness program;
 - evaluating a program that offers Pell grants to about 8,000 incarcerated students;
 - securing Census's platform and personal data and mitigating risks identified by GAO;
 - prescribing drugs as part of veteran health treatment;
 - improving oversight of opioids in the treatment of veterans;

- credentialing health providers who treat veterans to prevent disqualified providers from delivering patient care; and
- staffing and training patient advocates at the Department of Veterans Affairs (VA) medical centers.

Congress also directed the Secretary of the Department of Veterans Affairs to implement GAO recommendations intended to improve recruitment and retention initiatives for healthcare providers in rural and highly rural areas.

- **National Defense Authorization Act of 2020 (and committee reports).** Based on GAO work
 - Consistent with our work on potential widespread power outages resulting from cyberattacks against industrial control systems that support grid operations, the legislation included the **Securing Energy Infrastructure Act**, which requires federal agencies and the energy industry to craft a national plan addressing cyber threats to the electric grid.
 - Congress directed the Secretaries of Labor and Defense to implement several GAO recommendations related to defense contracting, TRICARE improper payments, and Department of Defense whistleblower protection.
 - The committee also commended GAO for its report on unmanned aerial systems and pilot promotion rates and directed the Secretary of the Air Force to establish a mechanism to review the justifications for non-operational staff positions requiring pilot expertise at regular intervals and to report to the committee on the mechanism to be established to accomplish these periodic reviews.
- **The Fostering Undergraduate talent by Unlocking Resources for Educations Act (The FUTURE Act).** Consistent with our July 2020 recommendation, Congress directed the Department of Education to obtain IRS taxpayer data to verify student-loan borrower income information, which will save an estimated \$1.8 billion over 5 years.
- **The Federal IT Acquisition Reform Act (FITARA).** Consistent with our IT Acquisitions and Operations high risk update, Congress extended the codification of an existing Office of Management and Budget (OMB) effort to consolidate and optimize federal data centers.
- **The John D. Dingell, Jr. Conservation, Management, and Recreation Act.** Consistent with our past work on the Yakima River Basin Integrated Water Resource Management, Congress enabled the Secretary of the Interior to contribute funds to any Indian Irrigation Project that meets certain criteria, including those projects identified in past GAO work.

- **The Pallone-Thune Telephone Robocall Abuse Criminal Enforcement and Deterrence Act.** The Congress directed the Commissioner to consider the findings from GAO's report on combating the fraudulent provision of misleading or inaccurate caller identification information when promulgating rules to help protect subscribers from receiving unwanted calls or text messages from a caller using an unauthenticated number [spoofed calls].
- **The Building Blocks of STEM Act.** Consistent with our 2018 work on STEM programs, Congress modified the National Science Foundation (NSF) grant programs that support STEM (science, technology, engineering, and mathematics, including computer science) education; instructed the NSF to improve the focus of research and development on early childhood education when awarding grants under the Discovery Research PreK-12 program; and specified how NSF grants to increase the participation of underrepresented populations in STEM fields may be used for research into various subjects.
- **The Federal Advance Contracts Enhancement Act (FACE Act).** The bill, which passed the Senate, codifies numerous GAO recommendations relating to the Federal Emergency Management Agency regarding its management of advance contracts in future disasters.
- **The Taxpayer First Act.** Also reflecting our work, the Congress directed the Commissioner of the IRS to
 - improve IRS's efforts to verify a taxpayer's identity and help prevent identity theft refund fraud; and
 - required the IRS to develop a comprehensive customer service strategy and protect IRS whistleblowers against employer retaliation.

Other Benefits

Many other benefits resulting from our work cannot be measured in dollars but lead to program and operational improvements. In FY 2019, we recorded 1,418 of these other benefits. For example, our work on public safety and security:

- led the Congress to establish grant programs to test for and remediate sources of lead in school drinking water, including replacing old water fountains;
- spurred awareness and wide-ranging discussions on weapon system cybersecurity vulnerabilities based on our work. We found that (1) DOD's major weapon systems in development routinely had mission-critical cybersecurity vulnerabilities, and (2) DOD testers took control of them using relatively simple tools and techniques; and
- helped prompt the Congress to hold hearings on how best to protect consumers' internet privacy in the wake of several high-profile incidents where consumers'

personal data were improperly shared over the internet. Based on our work, we suggested that the Congress consider developing comprehensive legislation to better protect consumers.

Similarly, our work related to vulnerable populations:

- led VA's Veterans Health Administration (VHA) to issue a suicide prevention media and outreach management standard operating procedure—outlining its oversight structure, including roles and responsibilities, to help ensure continuity of its suicide prevention efforts;
- prompted the Congress to include provisions in the Every Student Succeeds Act to improve outcomes for children in foster care by requiring (1) state and local education agencies to collaborate with child welfare agencies to help ensure school stability for these children, and (2) local education agencies to provide and fund transportation to keep them in their original schools; and
- led the Indian Health Service—which provides health care to American Indians and Alaskan Natives via its Purchased/Referred Care Program—to (1) clarify how it estimates program needs, and (2) revise its policy to require staff to notify their Area Office when funds are insufficient or depleted and there is a continued need for services.

Furthermore, our work in the area of agency operations:

- prompted the U.S. Citizenship and Immigration Services to improve the tools used by its asylum officers to help them better distinguish between applications that comply with law and those that do not. Applications are generally submitted by people who have been persecuted or fear persecution in their own countries and seek refuge in the United States; and
- led the Census Bureau to fully implement 79 of 107 recommendations we have made over the past decade to address serious concerns about the bureau's ability to conduct a secure and cost-effective 2020 count of the nation's population—a high-risk area since 2017.

Building Bodies of Knowledge

Through the products issued this year, we continued to build on bodies of work related to our three broad strategic goals. Examples include:

- **Protection of children and students.** We reported on the need to improve (1) how the Department of Homeland Security (DHS) transfers children separated from their parents at the border to the Department of Health and Human Services (HHS)—to help speed identification of these children and reunification with their parents; (2) the accuracy of federal data on the restraint and seclusion of students in K-12 educational settings; and (3) information on how low-income

college students can access federal food assistance on the Food and Nutrition Service's website and from state agencies.

- **Veterans.** We reported on the need for (1) the Veterans Benefits Administration to improve the data it has on whether contractors who conduct disability compensation medical exams are meeting the agency's quality and timeliness targets; (2) VA to establish goals and measures to better oversee the conditions at its health care facilities, which serve about 9 million veterans; and (3) VA to improve the website it uses to provide veterans with information on their nursing home care options.
- **High-risk areas.** In March 2019, we issued the biennial update of our High Risk Report to focus attention on government operations that are vulnerable to fraud, waste, abuse, and mismanagement or need transformation—offering solutions to 35 high-risk problems.

Financial benefits to the federal government due to progress in addressing high-risk areas over the past 14 years (FYs 2006 through 2019) totaled about \$520 billion—averaging \$37 billion per year. Since our 2017 report, seven areas improved, three regressed, two had mixed progress, and the balance were largely unchanged.

Two areas made significant progress and we removed them from our High Risk List: (1) DOD Supply Chain Management, based on DOD's progress on seven actions, including improvements in asset visibility and materiel distribution that eliminated \$82 million in costs within the supply chain through FY 2019—better ensuring that war fighters receive the supplies they need, when they need them; and (2) Mitigating Gaps in Weather Satellite Data, based on the National Oceanic and Atmospheric Administration's (NOAA) launch of a new satellite in 2017 that provides advanced weather data and forecasts and planned actions by DOD.

In 2018, we added the Personnel Security Clearance Process, before our biennial update, because it faced significant challenges with (1) processing clearances in a timely manner, (2) measuring investigation quality, and (3) ensuring information technology (IT) security. In 2019, we added VA Acquisition Management, given our finding that it faced several contracting challenges—including outdated acquisition regulations and policies. In 2020, we anticipate the misuse and abuse of drugs will be added to the high risk list.

- **Fragmentation, overlap, and duplication.** Our 2019 annual report identified 98 new actions could reduce fragmentation, overlap, and duplication, or provide other cost savings and revenue enhancement opportunities across the federal government. Significant progress has been made in addressing many of the 805 actions that we identified from 2011 to 2018 to reduce costs, increase revenues, and improve agency operations. As of March 2019, the Congress and executive branch agencies had fully addressed 436 (54 percent) and partially addressed

185 actions (23 percent) of these 805 actions—yielding about \$216 billion in financial benefits between 2010 and 2018, with \$46 billion more projected in the future. This work has also led to key other (non-financial) benefits, including (1) identifying and addressing skills gaps in mission-critical occupations at the IRS, and (2) providing active duty service members, veterans, and their families with better care from improved management of DOD and VA health care programs.

Moreover, the Disaster Recovery Reform Act of 2018 (October 2018) based in part on our high-risk work, directed FEMA to (1) develop a National Public Infrastructure Pre-Disaster Mitigation fund to allow for a greater investment in building pre-disaster resilience; (2) reconsider how it evaluates a jurisdiction's request for a major disaster declaration; and (3) update the Congress on its development of a national preparedness assessment and efforts to avoid duplication across preparedness grants.

Expanding our Focus on Cybersecurity

Increasingly sophisticated threats and frequent cyber incidents underscore the continuing and urgent need for effective information security. In FY 2019, our Information Technology and Cybersecurity team hired 32 new information technology/cybersecurity analysts—positioning us to expand our body of work in this area. Our work identified cybersecurity vulnerabilities in areas including weapon system acquisitions, the 2020 U.S. Census, and information systems at the 23 civilian agencies covered by the Chief Financial Officers Act of 1990. Given the 2017 Equifax data breach and the potential for fraud, we also:

- reviewed the federal government's reliance on commercial consumer reporting agencies to help verify the identities of people who apply for benefits online;
- identified alternative verification methods; and
- recommended that the National Institute for Standards and Technology (NIST) issue related guidance.

Our work will continue to include the security of federal information systems, including key agencies' capabilities for preventing and addressing security incidents; the cybersecurity of critical infrastructure, such as financial markets, telecommunications, and the electricity grid; and the security of taxpayer and consumer information.

We will also continue to assist the Congress with:

- overseeing and transforming DOD's ongoing efforts to balance current operational deployments with fulfilling the full spectrum of future military needs; and

- improving how the federal government manages health care programs to control rising costs, prevents and responds to infectious disease outbreaks, and curbs the nation's opioid epidemic, among other priorities.

In 2020 and beyond, GAO looks forward to assisting the Congress with addressing the most important challenges effecting the Nation's security in these vital areas.

Assisting Congress in Overseeing the Department of Defense

Congress has provided significant funding to DOD—including about \$695 billion in FY 2020, and charged GAO with conducting oversight of DOD activities to ensure effective and efficient use of these resources. GAO's oversight of DOD has consistently contributed to meaningful advances within the department and significant benefits for the taxpayer.

For example, in FY 2019, DOD implemented our recommendations to better counter insider threats by incorporating risk assessments into its insider-threat programs; improve military installations' compliance with drinking water regulations by clarifying its reporting requirements for violations of these regulations; and enhance collaboration within the Nuclear Weapons Council Standing and Safety Committee by working with the Department of Energy to formally define the roles, responsibilities, structure, and functions of this critical body.

Our defense-related work over the last year led to substantial cost savings, including a \$1.08 billion reduction in DOD's Operation and Maintenance budget due to excess balances that we had identified. GAO also provided Congress with timely, insightful information on DOD's development, testing, and acquisition of major weapon systems. Congressional actions implemented our recommendations that DOD inject more discipline into its processes for buying major weapon systems; as a result, taxpayers saved more than \$160 billion over the past 10 years.

In the coming year, GAO will continue to support Congressional oversight of DOD through traditional audit work, testimonies at congressional hearings, special publications, and technical assistance, such as budget justification reviews. This work, much of it directed by the FY 2020 National Defense Authorization Act, which contained 112 provisions directing GAO reviews, an increase of 44% from the prior year, will focus on key areas of interest to the congressional defense committees, including *Personnel and Enterprise Management*, *Strategic Warfare and Intelligence*, and *Military Structure and Operations*.

Assisting Congress with Health Care Challenges

About 27 percent of the federal budget is for health care spending. Putting the nation on a sustainable fiscal path requires that we better understand and restrain the growth in health care spending. We have studies underway to examine how drug prices compare across federal programs (Medicare, Medicaid, and VA), how prices in the U.S.

compare with those in other countries, and how direct-to-consumer advertising may inflate federal health care spending. More work is also needed to assess the integrity of the Medicare and Medicaid programs, which together accounted for approximately one quarter of federal spending and an estimated \$104 billion in improper payments in FY 2019.

Notably, improper payments grew from \$36 billion to \$57 billion in FY 2019 for the Medicaid program. In addition to eroding public trust, the scope of improper payments in the Medicaid program—including payments for people not eligible for Medicaid, for services not actually provided, or to providers who have not been properly screened and enrolled—jeopardizes the government’s ability to provide care for those who most need it in the future. To that end, this year we worked with the Centers for Medicare & Medicaid Services (CMS) and OMB to improve the Medicaid portion of the Compliance Supplement, which is used by state auditors during their annual audit of state entities that administer federal financial assistance programs. The resulting changes to the Compliance Supplement will better position state auditors to detect eligibility concerns within their state’s Medicaid program.

In FY 2020 we will continue to assist Congress by building on our work in areas such as veterans’ health issues, prescription drug production, use, and pricing, and the integrity of federal health care programs. For example, we are currently conducting original data collection and analysis on the number of veterans who have committed suicide on VA property and on the actions VA has taken in response to these deaths.

Evaluating Federal Disaster Reform and Recovery Issues

Executing on the plan provided to Congress outlining our use of the \$24 million in supplemental disaster audit appropriations GAO received in FYs 2018 and 2019, we have issued 34 reports and have another 21 audits underway as of January 8. To date, we have expended about \$13.1 million and expect to expend \$10 million of the supplemental appropriations in FY 2020 on these audits. In FY 2019, this work yielded 18 products and 52 recommendations in four key areas:

- ***Disaster Contracting***, including the need for FEMA to strengthen how it plans, coordinates, and tracks its contracts. To address this issue, the Senate passed the Federal Advance Contracts Enhancement Act on Nov 7, 2019, and moved the legislation to the House for consideration;
- ***Disaster Response***, including the need for FEMA and the American Red Cross to include key mass care organizations in coordination and planning efforts and for HHS to address deficiencies highlighted by recent hurricanes, such as insufficient staffing at emergency operations centers;
- ***Disaster Assistance***, including addressing our finding that some individuals who are older or have disabilities may have faced challenges registering for and receiving assistance from FEMA and its nonfederal partners; and

- **Puerto Rico and U.S. Virgin Islands**, including the status of the Federal Emergency Management Agency's (FEMA) funding, oversight, and recovery challenges.

Serving Our Clients

In FY 2019, GAO received requests for work from 90 percent of the standing committees of the Congress. We issued 678 products and made over 1,600 recommendations. Our senior executives were asked to testify 97 times before 50 different committees or subcommittees on a wide range of issues that touched virtually all major federal agencies. The following, are examples of topics GAO addressed in testimony in FY 2019.

Figure 1. Selected GAO Fiscal Year 2019 Testimony Topics

Goal 1: <i>Address Current and Emerging Challenges to the Well-Being and Financial Security of the American People</i>	
<ul style="list-style-type: none"> ▪ Protecting Privacy and Ensuring the Accuracy of Face Recognition Technology ▪ Re-evaluating the Nation's Retirement System ▪ Improving FEMA's Disaster Assistance for Older and Disabled Individuals ▪ Assessing the Effect of School Closures on Veterans Receiving Post 9/11 GI Bill ▪ Addressing Implementation Challenges for the Veterans Community Care Program ▪ Enhancing Federal Oversight of Consumer Internet Privacy ▪ Improving the Small Business Administration's (SBA) Contracting Programs 	<ul style="list-style-type: none"> ▪ Providing Veterans with Timely Access to Health Care ▪ Improving the Appointment Process for EPA Advisory Committees ▪ Implementing Positive Train Control will Require Deadline Extensions for Most Railroads ▪ Reducing Federal Financial Liability for Extreme Weather and Climate Events ▪ Assessing Federal Data on Restraint and Seclusion of Students in Public K-12 Educational Settings ▪ Strengthening Oversight of Consumer Reporting Agencies' Protection of Consumer Data ▪ Financing Needs for the Black Lung Benefits Program ▪ Improving the Public Service Loan Forgiveness Program
Goal 2: <i>Respond to Changing Security Threats and the Challenges of Global Interdependence</i>	
<ul style="list-style-type: none"> ▪ Identifying and Reunifying Children Separated from their Parents at the Border ▪ Rebuilding Air Force Readiness ▪ Accelerating Space Programs and Addressing Threats Pose Significant Challenges for DOD ▪ Observations on Confucius Institutes in the United States and U.S. Universities in China ▪ Addressing CBP's Challenges with Recruiting, Hiring, and Retaining Law Enforcement Personnel 	<ul style="list-style-type: none"> ▪ Reducing Risks to Army Modernization Efforts ▪ Improving FEMA's Emergency Management to Address Challenges and Future Risks ▪ Rebuilding Army Readiness ▪ Strengthening DHS Management ▪ Observations on F-35 and Air Force's Advanced Battle Management System ▪ Rebuilding Navy and Marine Readiness

Figure 1. Continued**Goal 3: Help Transform the Federal Government to Address National Challenges**

- Improving and Sustaining the Nation's Fiscal Health
- Implementing Strategies to Reduce the Tax Gap
- Addressing VA's IT Management Challenges
- Considering the Proposed Reorganization of OPM
- Strengthening Federal Agencies' IT Acquisitions, Operations, and Cybersecurity Efforts
- Mitigating Key Risks for the 2020 Census
- Addressing FEMA's Challenges With Contracts used to Support Disaster Response and Recovery
- Using Acquisition Best Practices for IT to Improve Implementation of VA's Family Caregiver Program
- Preliminary Observations on Sexual Harassment in STEM Research
- Identifying and Reporting the Cost of VA's Electronic Health Care Records System
- Improving the Sustainability of Chemical Technologies
- Reducing Fragmentation, Overlap, and Duplication in Federal Programs
- Ensuring SBA's Export Promotion Grant Program Better Complies with Law and Helps States Fully Use Funds
- Inventorying Government-Wide Accounts with Spending Authority and Permanent Appropriations (Fiscal Years 1995-2015)
- Addressing VA's High-Risk Issues Will Require Sustained Leadership
- Improving Federal Recruiting and Hiring Efforts

Source: GAO | GAO-20-1SP

I continued to meet with the Chairs and Ranking Members of congressional committees to obtain their views on GAO's work, including their priorities, and to discuss opportunities and challenges facing our Nation. In addition, we continued to highlight the status of key recommendations in our annual duplication, fragmentation, and overlap report—citing progress made and the benefits of full implementation. In FY 2019, agencies implemented 77 percent of our recommendations against a target of 80 percent—matching our 2018 performance. I also continued to send letters to the heads of most federal departments, recognizing their progress in implementing our priority recommendations and calling attention to those still requiring action. These letters were also sent to congressional committees of jurisdiction to inform their oversight and published on our website.

Supporting Our People

The hard work and dedication of our diverse and professional multidisciplinary staff positioned GAO to achieve a 95 percent on-time delivery of our products in FY 2019. Our performance also indicates that staff received the support needed to produce high-quality work. We met or exceeded the targets for our seven people measures—exceeding our targets for new hire rate, retention rate with retirements, staff development, staff utilization, effective leadership by supervisors, and organizational climate; and met our target for retention rate without retirements. GAO also remained a federal employer of choice, ranking third among mid-size federal agencies as a best place to work and first for supporting diversity by the Partnership for Public Service.

Managing Our Internal Operations

In FY 2019, GAO again received an unmodified or “clean” opinion from independent auditors on our financial statements for FY 2019 and our internal control over financial reporting. There was no reportable noncompliance with provisions of applicable laws, regulations, contracts, and grant agreements tested. We demonstrated that all detailed performance and financial information is complete and reliable in order to achieve high standards for accuracy and transparency.

We also continued efforts to support our fourth strategic goal to maximize our value by enabling quality, timely service to the Congress and being a leading practices federal agency. We made progress addressing our three internal management challenges: managing a quality workforce; improving the efficiency of our engagements; and ensuring the confidentiality, integrity, and availability of GAO’s information technology services. With this budget request, we are planning to achieve and maintain 3,250 FTE in FY 2021.

FY 2021 Resource Planning and Deployment

In planning our audit work for FY 2021, we are requesting resources that will be used primarily to continue to *increase* our focus on science and technology areas in accordance with the plan sent to Congress in April 2019; and to *maintain* our focus on cybersecurity risks and the threat to the nation’s critical infrastructure, the increased investment in the Department of Defense, and challenges associated with growing health care costs, discussed above.

GAO’s Science and Technology Program

The conference report accompanying the 2019 Legislative Branch Appropriations Bill encouraged GAO to reorganize its technology and science function by creating a new, more prominent office within GAO. The conference report also asked GAO to provide the Subcommittees a detailed plan and timeline describing how this new office can expand and enhance GAO’s capabilities in scientific and technological assessments.

In response, in January 2019, GAO stood up the Science, Technology Assessment, and Analytics (STAA) team as part of a reorganization to enhance our ability to provide Congress with thorough and balanced analysis of technological and scientific developments; and in March 2019, we submitted our plan to this Subcommittee describing the revised organizational structure within GAO for this team; plans for the team’s staffing, resources, and areas of expertise; and the products and services this team will provide to Congress. Since its establishment, we have continued to build the team’s staff and its capabilities. Currently at 74, staffing is projected to grow to 100 by FY 2020 year-end.

Since the team's establishment, a June 2019 report to Congress from the National Academy of Public Administration (NAPA) found that Congress needs to bolster its ability to obtain and use information regarding emerging technology. Among NAPA's recommendations was that GAO continue to expand its production of technical assessments and short-to-medium term studies on emerging technology issues.

Additionally, in report language accompanying the Further Consolidated Appropriations Act, 2020, funding GAO's FY 2020 operations, Congress encouraged GAO to dedicate a specific number of experts to work exclusively on science, technology assessment, and analytics issues. Consistent with Congress' desire for GAO to provide greater assistance in the science and technology realm, in this budget GAO is requesting additional funding to complete the March 2019 plan for staffing and information technology tools to support Congress in this area.

Demonstrated ability to provide science and technology analyses. GAO provides a variety of science and technology products and services to Congress, growing its science and technology portfolio by adding technology assessments, engineering/project controls best practices guides, and most recently, the Science & Tech Spotlight series.

GAO has the expertise, independence, and access to data to provide authoritative, nonpartisan advice to Congress in a manner that complements other sources of science and technology advice. Specifically

- **Expertise.** GAO's new Science, Technology Assessment, and Analytics team has staff members with masters' degrees and/or doctorates in a science, technology, engineering, and mathematics field. GAO's technology assessments are informed by appropriate science and technology expertise, including external experts across academia, think tanks, and industry. GAO integrates subject and policy knowledge from across its 15 mission teams to develop rigorous methodological approaches to expertly analyze quantitative and qualitative data.
- **Independence.** GAO has a robust quality assurance framework to help ensure its independence and has congressional protocols to help ensure GAO is responsive to Congress in a nonpartisan manner.
- **Access to data.** GAO's legal authorities grant it unique access to an extensive range of agency information and data, including classified information and other information that is not available to the public.

STAA's current staff level is about one-half of what was outlined in the plan submitted to Congress, so we will continue to grow our current science and technology workforce over the next few years. Under this request, we plan to grow STAA to 140 full-time equivalent total staff as we adapt to meet future congressional demand. We will continually assess optimum staffing levels for the team based on congressional needs and product demand. As we continue to assess anticipated future work and science and

technology issues that will be of interest to the Congress, we have hired and plan to continue hiring to add expertise in areas such as:

- Biological/life sciences for emerging infectious diseases, epidemiology, synthetic biology, biosafety, and biosecurity work;
- Computer/systems/electrical engineering for digital and communications technologies (e.g., 5G wireless, blockchain, quantum cryptography, artificial intelligence/machine learning systems);
- Applied math/engineering/computer science for advanced analytics/data science/data engineering;
- Nuclear physics for nuclear nonproliferation, waste management, weapons systems analysis, and radiation/nuclear detection systems
- Quantum computing; and
- Physics/aerospace engineering for advanced weapons systems, space systems, and unmanned systems.

In addition to permanent staff, we are exploring actively recruiting temporary or limited-term staff to meet project-specific needs, particularly around the latest science and technology advances. Such staff could include experts from the National Academies or Intergovernmental Personnel Act detailees. The exact number of such staff will vary based on our hiring authority, project needs, and congressional demand for our work. We will seek additional authorities if necessary to obtain needed expertise.

As discussed during meetings with external stakeholders, there is a strong interest within the science and technology community in opportunities to participate in and contribute to analysis of science and technology issues on behalf of the Congress, and to enhance their own work on science and technology issues through an understanding of the broader policy context.

GAO provides an array of professional services in the domains of oversight, insight, and foresight to help Congress carry out oversight responsibilities as they relate to the nation's science and technology enterprise. Our expertise, research, and analyses help address a number of specific congressional needs, including:

- evaluation of the impacts of science, technology, and innovation—including programmatic and/or policy implications;
- development of policy options concerning science, technology, and innovation issues in the context of actual or hypothesized congressional policy goals; and

- proactive and/or on-demand, “just-in-time” scientific/technical assistance on science, technology, and innovation issues.





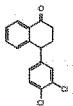

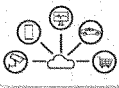
Members and their staffs need to understand how new technologies will shape our world. We provide foresight into technological opportunities and risks with thorough and balanced assessments of critical innovations that affect society, the environment, and the economy. GAO foresight products include Technical Assessments, Science & Tech Spotlights, and science and technology -related evaluations and testimonies, while foresight services include science and technology horizon-scanning and issue tracking in partnership with GAO’s Center for Strategic Foresight. Having multiple product types and services allows us to respond in an appropriate time frame with the information Congress needs.

Technology assessments. Our technology assessments analyze the latest developments in science and technology, draw attention to implications of technological change, and make core concepts accessible to policymakers. The content of technology assessments varies. They may:

- highlight potential short-, medium-, and long-term impacts of scientific advancement and/or technological development;
- elaborate on and communicate the risks and benefits associated with a technology, including early insights into the potential impacts of technology;
- highlight the status, viability, and relative maturity of a given technology—especially in the context of a complex acquisition program;
- describe federal investments in science and technology; and
- present policy options designed to inform decision makers on potential courses of action and the opportunities and challenges associated with each option.

Technology assessments time frames depend on their scope, but they can be completed within several months. Figure 2 highlights some recent technology assessments.

Figure 2. Highlights of Selected Technology Assessments

	Artificial Intelligence in Health Care: Benefits and Challenges of Machine Learning in Drug Development GAO-20-215SP	Identifies several challenges that hinder the adoption and impact of machine learning in drug development. The report includes six policy options in response to these challenges. These were developed through a range of expert interviews, some in conjunction with the National Academies.
	Irrigated Agriculture: Technologies, Practices, and Implications for Water Scarcity GAO-20-128SP	Provides an overview of irrigation technologies and practices that could reduce water usage. Also discusses factors that influence the adoption of efficient irrigation technology and how efficient irrigation technologies impact water conservation. Provides policy options in the area.
	Critical Infrastructure Protection: Protecting the Electric Grid from Geomagnetic Disturbances GAO-19-98	Reports on the potential effects of geomagnetic disturbances on the U.S. electric grid, and technologies to prevent or mitigate a disturbance. Also discusses factors that could affect the development and implementation of these technologies.
	Artificial Intelligence: Emerging Opportunities, Challenges, and Implications GAO-18-142SP	Discusses how artificial intelligence (AI) has evolved over time, the opportunities and future promise, as well as the principal challenges and risks. Report includes the policy implications and research priorities resulting from advances in AI concerning cybersecurity, automated vehicles, criminal justice, and financial services.
	Chemical Innovation: Technologies to Make Processes and Products More Sustainable GAO-18-307	Assesses selected technologies that are available or in development to make chemical processes and products more sustainable. Describes the contributions of the federal government, industry, and others to the development and use of such technologies.
	Medical Devices: Capabilities and Challenges of Technologies to Enable Rapid Diagnoses of Infectious Diseases GAO-17-347	For multiplex point-of-care technologies, describes performance and costs. Discusses challenges and potential benefits of these technologies.
	Internet of Things: Status and Implications of an Increasingly Connected World GAO-17-75	Describes the state of the Internet of Things, the purposes and uses of the technologies, along with potential implications.

Source: GAO.

Science & Tech Spotlights. We also provide Congress with foresight through our Science & Tech Spotlights. Launched in 2019, Spotlights are two-page overviews for policymakers and the public. Each describes an emerging science and technology development, the opportunities and challenges it brings, and the relevant policy context. Spotlights are designed to inform Congress of key developments in a timely and efficient manner, generally before congressional requests for deeper inquiries. Spotlights are completed in a few to several weeks. Our first four Spotlights, address blockchain, hypersonic weapons, opioid vaccines, and probabilistic genotyping software—with the latter topic now requested as part of a full technology assessment

project. In the near future we will publish Spotlights addressing 5G wireless technology; CRISPr gene editing; deep fake videos; and nuclear microreactors.

Evaluations and testimonies. Some GAO evaluations identify key technologies and their risks and opportunities, and provide policy options to decision makers. For example, in a series of reports from December 2009 through March 2019, we identified options for policy or structural changes that could help the Department of Homeland Security better fulfill its biosurveillance integration mission.

In addition, we addressed a range of science and technology topics in testimonies before Congress. For example, in June 2019 we testified before the House Committee on Oversight and Reform on biological threats and biodefense efforts. In June 2019, we testified in front of the House Committee on Oversight and Reform on the privacy and accuracy of FBI's use of facial recognition. We also testified on a range of information technology and cybersecurity topics in FY 2019, such as IT challenges at the Department of Veterans Affairs, systems development and cybersecurity efforts in preparation for the 2020 Census, and federal cybersecurity workforce issues.

Science and technology horizon scanning and issue tracking. In addition to working on specific foresight-related products, our staff continually perform horizon scanning to support Congress. Further, awareness and evaluation of trends in science and technology are part of our ongoing strategic planning efforts. In GAO's 2018-2023 Strategic Plan for Serving Congress and the Nation, we outline a number of technologies and scientific advances that will potentially transform society, among them genome editing, artificial intelligence and automation, quantum information science, braincomputer interfaces and augmented reality, and cryptocurrencies and blockchain. Our staff track advancements in these areas to inform our current and future products and services. The issues we focus on will change over time as our horizon-scanning identifies new priority issues.










We also provide Members and their staffs immediate access to a trusted source of nonpartisan information to gain insight into science and technology topics and programs, ranging from answering technical questions by phone, to providing a comprehensive written and oral briefing on a complex issue. Depending on the need and topic, turnaround time can range from days to a few weeks. Some of our methods for providing technical assistance to Congress include:

- We frequently provide informal briefings and other assistance to Members of Congress and congressional staff on a very short time frame based on our expertise, prior work, and analysis. We have provided numerous technical briefings on request, such as on biodetection systems, big data, artificial intelligence, IT, and cybersecurity issues, among others. Our technical assistance also supports hearings. For example, we provided information on fentanyl and fentanyl analogs for a hearing on the opioid crisis. We developed a briefing on sustainable chemistry for a committee.

- We have briefed new committee staff on topics or agencies within their portfolios, highlighting our recent reporting and our understanding of the major issues involved.
- We also draw on our in-house expertise and prior reporting to provide context and issues to consider regarding draft legislation.

Our ongoing work develops science and technology content across a mixture of product types, key topics, and for a variety of congressional committees. Figure 3 shows selected current work in science and technology.

Figure 3. Examples of Ongoing Science and Technology Work

	Topic (Product Type)	Congressional Clients
	CRISPR gene editing and surrounding policy context (Science & Tech Spotlight)	Biomedical, Agriculture, and National/Homeland security-related committees and caucuses
	Information on deepfake video technology (Science & Tech Spotlight)	Technology-related committees and caucuses
	Nuclear microreactors technology (Science & Tech Spotlight)	Energy-related committees and caucuses
	Performance, usage, and challenges of 5G wireless networks (Science & Tech Spotlight and Technology Assessment)	House Committee on Armed Services, House Permanent Select Committee on Intelligence, House Committee on Science, Space, and Technology, and Senate Select Committee on Intelligence
	Artificial intelligence in the delivery of health care services (Technology Assessment)	Senate Committee on Health, Education, Labor, and Pensions, and House Committee on Energy and Commerce
	Algorithms used in forensics, including DNA fingerprints and facial recognition (Technology Assessment)	Security and technology-related committees and caucuses
	Infectious disease modeling as it relates to public health decisions (Performance Evaluation)	House Committee on Energy and Commerce
	Federal efforts to address antibiotic resistance (Performance Evaluation)	Senate Committee on Health, Education, Labor, and Pensions, and House Committee on Energy and Commerce
	Department of Homeland Security's new biodefense technology system (Technology Assessment and/or Performance Evaluation)	Senate Committee on Homeland Security and Governmental Affairs, House Committee on Energy and Commerce, House Committee on Homeland Security, House Committee on Science, Space, and Technology
0100101001 1001010101	Identify and describe Agile software development best practices (Best Practice Guide)	Appropriations, Budget, and technology-related committees and caucuses
\$	An update to GAO's 2009 Cost Estimating and Assessment Guide (Best Practice Guide)	Appropriations, Budget, and oversight-related committees and caucuses

Source: GAO.

Information Technology

GAO's information technology infrastructure serves as the backbone/foundation upon which all its work is produced. As such, this vital function must constantly be updated, improved, and secured. In FY 2020, GAO rolled out a new updated virtual desktop infrastructure that enhances staff's ability to perform its duties in a secure and robust environment.

While GAO has worked hard to improve its capacity to support Congress, there remains very important work to accomplish. GAO's priorities for IT development in FY 2020 include consolidating and virtualizing all data center components and infrastructure with automatic failover for business continuity and disaster recovery capability needs and migrate to cloud computing infrastructure.

We are also requesting funding to support STAA's information technology and analytics capacity and data lab. Specifically, the funding will allow STAA to:

- equip a state-of-the collaborative space to conduct data science experiments, define, design, and execute advanced analytics pilot projects;
- build prototypes of emerging technologies such as Blockchain/digital ledgers as well as Machine Learning/Artificial Intelligence systems; and
- develop a framework for algorithmic accountability in Machine Learning/Artificial Intelligence systems.

The lab will help GAO provide Congress with critical foresight, oversight, and insight of science and technology issues to ensure continued American innovation, competitiveness, and security.

In FY 2020, we will also develop the requirements for replacing our outdated content and records management system used to do our audits with a modern and secure cloud Enterprise Content Management solution. In the long term this new system will allow our employees to work more efficiently and at the same time improve GAO's efficiency by eliminating custom code and using commercial off the shelf software. In FY 2021, GAO will build off this requirements analysis to procure this important new system that will truly modernize the agency's fundamental tools and establish a solid foundation for the coming years.

Additionally, in FY2021, GAO plans to complete its development and deployment of our platform to edit, fact check and distribute our reports (New Blue). New Blue will streamline the publishing processes to enable efficient and scalable publication of products in a responsive web-based format intended to accommodate the rising demand for content that is accessible on mobile devices and can be quickly and easily navigated by Congressional staff during hearings or by users on the go.

Throughout these projects GAO will enhance its security posture through improved and new security tools and infrastructure, while maintaining compliance with policy and federal standards.

Facilities, Building, and Security

While most of GAO's staff is located at its Headquarters in Washington, DC, GAO maintains a presence in strategic locations where federal activities take place throughout the country. GAO is always working to ensure our headquarters and field office locations operate as efficiently as possible, and we continue to reduce our real property footprint as we identify opportunities.

In FY 2021, GAO is scheduled to complete efforts to relocate staff in Los Angeles and Chicago from commercial to government owned buildings. Since owning property can provide access to the buildings and building system, foreign ownership of government-leased space can pose security risks that GAO cannot afford to take. GAO is requesting funding related to these office moves to ensure we have funding needed for fixed costs related to moves and other expenses related to the office transitions.

In addition, as reported in our FY 2019 financial statements, GAO has deferred maintenance at its headquarters building, which now exceeds \$80 million. This includes heating and air conditioning infrastructure and major electrical equipment that are original to our building and past its useful life. Additional funds will enable GAO to begin addressing deferred maintenance and protect this valuable asset from quickening deterioration.

Legal Work Update

Our Office of the General Counsel (OGC) handled about 2,200 bid protests and issued approximately 600 decisions on the merits. OGC also issued several decisions related to the Antideficiency Act and agencies' use of appropriated funds during the partial government shutdown. For example, we concluded that the U.S. Department of the Interior (Interior) violated the purpose statute and the Antideficiency Act when, during a lapse in Interior's appropriations, it obligated certain fees for expenses that it normally would charge to annual operating appropriations. GAO concluded that the General Services Administration (GSA) did not violate the Antideficiency Act when it obligated available appropriations to enter into an interagency agreement with the National Park Service to reopen the Old Post Office Observation Tower during the same period.

During FY 2019 and FY 2020, OGC increased the number of attorneys assigned to the appropriations law team as encouraged by Congress. The additional funding requested for FY 2021 will allow GAO to enhance the resources allocated to its important appropriations law functions.

Strategic Planning

GAO's most recent Strategic Plan for Serving the Congress and the Nation – Fiscal Years 2018 to 2023

As the nation confronts a series of both new and long-standing challenges, this plan describes our goals and strategies to support the Congress to identify cost savings and other financial opportunities; to make government more accountable, efficient and effective; and ultimately to improve the safety, security, and well-being of the American people. GAO's Strategic Plan provides a comprehensive roadmap for how the agency will support the most important priorities of Congress and the Nation.

This plan reflects the full scope of the federal government's operations, as well as emerging and future trends that may affect government and society. As part of our strategic planning process, we emphasize foresight, continuous environmental scanning, and trend analysis as essential to helping inform our decision-making and long-term planning.

The plan is comprised of three sections: strategic goals and objectives; key efforts; and trends that provide overall context supporting our long-range planning. There are eight trend areas in GAO's 2018—2023 plan including:

1. ***Domestic and Global Security*** – global conditions affecting U.S. and international security;
2. ***Fiscal Outlook and the Debt*** – the federal government's long-term unsustainable fiscal path;
3. ***Economics and Trade*** – global response to challenges posed by divergent economic growth;
4. ***Jobs and Education*** – technological advances and their impact on preparing the workforce of the future;
5. ***Demographics and Society*** – demographic changes and their implications for U.S. society and economy;
6. ***Science and Technology*** – five emerging technologies and scientific advances that could potentially transform society (Genome Editing; Artificial Intelligence and Automation; Quantum Information Science; Brain/Augmented Reality; and Cryptocurrencies and Blockchain);
7. ***Government and Governance*** – increasingly complex governance relationships and practices; and

8. *Environment and Sustainability* – balancing competing natural resource and sustainability needs.

The current strategic plan framework (Enclosure III) summarizes these global trends affecting government and society, as well as the strategic goals and objectives that guide our work.

Center for Audit Excellence

The Consolidated and Further Continuing Appropriations Act, 2015, enacted in December 2014, authorized the Government Accountability Office (GAO) to establish a Center for Audit Excellence (CAE) to build institutional auditing capacity and promote good governance by providing training and assistance to federal, state, local and other national audit offices around the world.

The Center opened in October 2015 with a core staff of two part-time reemployed annuitants and a roster of more than 80 former GAO Senior Executives and Band III auditors who worked for the Center on an intermittent basis. GAO submitted a business plan to Congress in February 2015 which was approved in mid-2015. The Center was intended to be largely demand-driven, primarily rely on rehired annuitants, recover costs, and undertake both domestic and international projects.

The Center has ***proven its initial concept and demand for the Center's services, domestically and internationally, continues to increase.*** The Center, in its fourth year of operations, has met its goals of:

- expanding services in developing countries;
- establishing strategic partnerships with donor organizations;
- providing online registration for group training, and
- improving internal operations.

Since 2015 the Center has provided training to 45 accountability organizations around the world—many of which have sought repeat services. In FY 2019, the Center collected more than \$800K in fees and provided technical assistance or training to 24 accountability organizations. The Center has reached nearly every region of the world—providing custom training courses, mentorship and coaching, institutional capacity building, and needs assessments.

Moving forward the ***Center seeks to bolster its operations as demand for its services continues to expand, particularly with international organizations.*** Building the capacity of National Audit Organizations across the globe helps produce high-quality auditing functions which can improve oversight of U.S. foreign assistance

and hold governments accountable for using public funds efficiently and effectively and deterring and identifying corruption.

For FY 2019 Congress appropriated approximately \$34 billion for foreign assistance, which includes funds for a variety of accounts such as Global Health, Development Assistance, Foreign Military Financing, and Migrations and Refugee Assistance. **Many of the countries whose national audit offices have the greatest need to improve audit quality are low-income countries that are recipients of U.S. foreign assistance.** A Global National Audit Office Stocktaking Report published in 2017 noted that “Enhancing audit quality and coverage, particularly implementing the International Standards of Supreme Audit Institutions, is a major long term challenge.”

In FY 2021, **GAO seeks to use a portion of its appropriation on a small number of full-time staff to support its operations to meet increased demand for services.** GAO requests funding to support 5 permanent staff and related expenses to enhance GAO’s capability to support Center operations. The Center will continue to operate a fee-based model for projects.

The Center’s expansion of services calls for utilizing five permanent staff for core operations/administrative functions, online/web-based technical support staff, instructors to support on-the-ground services, and as well as contract services for interpretation and translation. Increased staffing levels would give GAO the necessary capability to better support the Center’s growing mission for international, multi-year projects to enhance national audit office capacity and accountability in countries that receive foreign aid. The Center would retain its core annuitant staff, roster of intermittent instructors, and continue to execute its current multi-year international agreements and domestic projects supporting State and Local audit organizations and federal Inspector General Offices.

Examples of Working with International Organizations

- The Center has signed Memorandums of Understanding (MOU) with the U.S. Agency for International Development (USAID) in April 2016 and the World Bank in March 2019.
- Working with the Millennium Challenge Corporation, the Center also completed an 18-month project in Honduras that produced a high quality audit of port operations and better equipped the national audit office to conduct future performance audits.
- With USAID support, the Center is helping to improve Philippines’ national audit office capacity to conduct performance audits via a multi-year \$1.5 million agreement.

Examples of Working with Domestic Organizations

- To date, the Center has provided high quality training to a dozen federal inspectors general as well as nearly a dozen state and local audit organizations and has had numerous repeat customers.
- The Center recently acquired an online registration system and began holding individual enrollment classes to be held at GAO for federal employees and auditors.
- The Center improved performance audit capacity of the Denver City Auditor's Office and strengthened auditor skills at the Massachusetts State Auditor's Office.

Concluding Remarks

We value the opportunity to provide Congress and the nation with timely, insightful analysis on the challenges facing the country. Our FY 2021 budget requests the resources to ensure that we can continue to address the highest priorities of the Congress.

Our request will allow us to continue building our staffing level and provide our people with the appropriate resources and support needed to serve the Congress effectively. This funding level will also allow us to continue efforts to promote operational efficiency and address long-deferred investments and maintenance. We will also continue to explore opportunities to generate revenue to help offset our costs.

I appreciate, as always, your careful consideration of our budget and your continued support. I look forward to discussing our FY 2021 budget request with you.

Gene L. Dodaro



Comptroller General
of the United States

Enclosures (3)

Enclosure I

GAO's High Risk List as of September 2019

High Risk Area	Year Designated
Strengthening the Foundation for Efficiency and Effectiveness	
▪ Improving Federal Programs that Serve Tribes and Their Members	2017
▪ 2020 Decennial Census	2017
▪ U.S. Government Environmental Liabilities	2017
▪ Improving the Management of IT Acquisitions and Operations	2015
▪ Limiting the Federal Government's Fiscal Exposure by Better Managing Climate Change Risks	2013
▪ Management of Federal Oil and Gas Resources	2011
▪ Modernizing the U.S. Financial Regulatory System	2009
▪ Resolving the Federal Role in Housing Finance	2009
▪ USPS Financial Viability	2009
▪ Funding the Nation's Surface Transportation System	2007
▪ Managing Federal Real Property	2003
▪ Strategic Human Capital Management	2001
Transforming DOD Program Management	
▪ DOD Approach to Business Transformation	2005
▪ DOD Support Infrastructure Management	1997
▪ DOD Business Systems Modernization	1995
▪ DOD Financial Management	1995
▪ DOD Weapon Systems Acquisitions	1990
Ensuring Public Safety and Security	
▪ Government-wide Personnel Security Clearance Process	2018
▪ Protecting Public Health through Enhanced Oversight of Medical Products	2009
▪ Transforming EPA's Processes for Assessing and Controlling Toxic Chemicals	2009
▪ Ensuring the Effective Protection of Technologies Critical to U.S. Security Interests	2007
▪ Improving Federal Oversight of Food Safety	2007
▪ Strengthening Department of Homeland Security Management Functions	2003
▪ Ensuring the Cybersecurity of the Nation	1997
Managing Federal Contracting More Effectively	
▪ VA Acquisition Management (<i>new</i>)	2019
▪ DOD Contract Management	1992
▪ DOE's Contract Management for the National Nuclear Security Administration and the Office of Environmental Management	1990
▪ NASA Acquisition Management	1990
Assessing the Efficiency and Effectiveness of Tax Law Administration	
▪ Enforcement of Tax Laws	1990
Modernizing and Safeguarding Insurance and Benefit Programs	
▪ Managing Risks and Improving VA Health Care	2015
▪ National Flood Insurance Program	2006
▪ Improving and Modernizing Federal Disability Programs	2003
▪ Pension Benefit Guaranty Corporation Insurance Programs	2003
▪ Strengthening Medicaid Program Integrity	2003
▪ Medicare Program and Improper Payments	1990

Source: GAO | GAO 20-1SP

Federal Disaster Response and Recovery Engagements¹

Completed Engagements

- *Disaster Assistance: Opportunities to Enhance Implementation of the Redesigned Public Assistance Grant Program.* GAO-18-30, November 8, 2017
- *2017 Disaster Contracting: Observations on Federal Contracting for Response and Recovery Efforts.* GAO-18-335, February 28, 2018
- *Federal Disaster Assistance: Individual Assistance Requests Often Granted but FEMA Could Better Document Factors Considered.* GAO-18-366, May 31, 2018
- *2017 Hurricanes and Wildfires: Initial Observations on the Federal Response and Key Recovery Challenges.* GAO-18-472, September 4, 2018
- *Homeland Security Grant Program: Additional Actions Could Further Enhance FEMA's Risk-Based Grant Assessment Model.* GAO-18-354, September 6, 2018
- *Continuity of Operations: Actions Needed to Strengthen FEMA's Oversight and Coordination of Executive Branch Readiness.* GAO-19-18SU, November 26, 2018
- *2017 Disaster Contracting: Action Needed to Better Ensure More Effective Use and Management of Advance Contracts.* GAO-19-93, December 6, 2018
- *U.S. Virgin Islands Recovery: Status of FEMA Public Assistance Funding and Implementation.* GAO-19-253, February 25, 2019
- *Puerto Rico Hurricanes: Status of FEMA Funding, Oversight, and Recovery Challenges.* GAO-19-256, March 14, 2019
- *Huracanes de Puerto Rico: Estado de Financiamiento de FEMA, Supervisión y Desafíos de Recuperación.* GAO-19-331, March 14, 2019
- *Disaster Recovery: Better Monitoring of Block Grant Funds Is Needed.* GAO-19-232, March 25, 2019
- *2017 Hurricane Season: Federal Support for Electricity Grid Restoration in the U.S. Virgin Islands and Puerto Rico.* GAO-19-296, April 18, 2019
- *2017 Disaster Contracting: Actions Needed to Improve the Use of Post-Disaster Contracts to Support Response and Recover.* GAO-19-281, April 24, 2019
- *Disaster Contracting: FEMA Continues to Face Challenges with its Use of Contracts to Support Response and Recovery.* GAO-19-518T, May 9, 2019
- *Disaster Assistance: FEMA Action Needed to Better Support Individuals Who Are Older or Have Disabilities.* GAO-19-318, June 5, 2019
- *Emergency Management: FEMA Has Made Progress, but Challenges and Future Risks Highlight Imperative for Further Improvements.* GAO-19-594T, June 12, 2019
- *Emergency Management: FEMA Has Made Progress, but Challenges and Future Risks Highlight Imperative for Further Improvements.* GAO-19-617T, June 25, 2019
- *2017 Disaster Relief Oversight: Strategy Needed to Ensure Agencies' Internal Control Plans Provide Sufficient Information.* GAO-19-479, June 28, 2019
- *Emergency Management: FEMA's Disaster Recovery Efforts in Puerto Rico and the U.S. Virgin Islands.* GAO-19-662T, July 11, 2019
- *Disaster Assistance: FEMA Has Taken Steps toward Better Supporting Individuals Who Are Older or Have Disabilities.* GAO-19-652T, July 23, 2019
- *Disaster Response: Federal Assistance and Selected States and Territory Efforts to Identify Deaths from 2017 Hurricanes.* GAO-19-486, September 13, 2019
- *Disaster Response: FEMA and the American Red Cross Need to Ensure Key Mass Care Organizations are Included in Coordination and Planning.* GAO-19-526, September 19, 2019
- *Respuesta a Desastres: FEMA y la Cruz Roja Americana Necesitan Asegurar que Las Organizaciones Claves del Cuidado en Masa Sean Incluidas en la Coordinación y el Planeamiento.* GAO-19-708, September 19, 2019
- *Disaster Response: HHS Should Address Deficiencies Highlighted by Recent Hurricanes in the U.S. Virgin Islands and Puerto Rico.* GAO-19-592, September 20, 2019

¹ As of January 8, 2020

Federal Disaster Response and Recovery Engagements

- *Puerto Rico Electric Grid Recovery: Better Information and Enhanced Coordination Is Needed to Address Challenges.* GAO-20-141, October 8, 2019
- *Recuperación De La Red Eléctrica En Puerto Rico: Se Necesita Mejor Información y Coordinación para Enfrentar Desafíos* GAO-20-143, October 8, 2019
- *Wildfire Disasters: FEMA Could Take Additional Actions to Address Unique Response and Recovery Challenges.* GAO-20-5, October 9, 2019
- *Highway Emergency Relief: Federal Highway Administration Should Enhance Accountability over Project Decisions.* GAO-20-32, October 17, 2019
- *Disaster Recovery: Recent Disasters Highlight Progress and Challenges.* GAO-20-183T, October 22, 2019
- *Disaster Resilience Framework: Principles for Analyzing Federal Efforts to Facilitate and Promote Resilience to Natural Disasters.* GAO-20-100SP, October 23, 2019
- *Emergency Transport Relief: Federal Transit Administration and FEMA Took Actions to Coordinate, but Steps Are Needed to Address Risk of Duplicate Funding.* GAO-20-85, November 13, 2019
- *Superfund: EPA Should Take Additional Actions to Manage Risks from Climate Change.* GAO-20-73, November 18, 2019
- *U.S. Virgin Islands Recovery: Additional Actions Could Strengthen FEMA's Key Disaster Recovery Efforts.* GAO-20-54, November 19, 2019
- *Wildland Fire: Federal Agencies' Efforts to Reduce Wildland Fuels and Lower Risk to Communities and Ecosystems.* GAO-20-52, December 19, 2019

Ongoing Engagements¹

1. FEMA Public Assistance funding and recovery efforts in Puerto Rico
2. Small Business Administration response to 2017 disasters
3. Emergency alerting capabilities and progress
4. Drinking Water and Wastewater Utility Resilience
5. FEMA Public Assistance program fraud risk management efforts
6. Preparedness challenges and lessons learned from the 2017 disasters
7. FEMA workforce management and challenges
8. FEMA Individual Assistance programs and challenges
9. National Flood Insurance Program post-flood enforcement
10. National Flood Insurance Program buyouts and property acquisitions
11. Economic costs of large-scale natural disasters and impacts on community recovery
12. Contracting Workforce and Purchase Card Use for Disaster Response and Recovery
13. Community Development Block Grants-Disaster Recovery
14. Post-Hurricane Power Grid and Water Projects
15. Disaster Housing Assistance Program
16. National Flood Insurance Program Mandatory Purchase Requirement
17. National Earthquake Hazards Reduction Program
18. Disaster Resilience and Hazard Mitigation
19. Pacific Territories and Island Disaster Response
20. Disaster Recovery in K-12 Schools
21. Disaster Response—Volunteer Health Professionals

¹ As of January 8, 2020

GAO'S STRATEGIC FRAMEWORK



Contents

Transmittal Letter 1

The Comptroller General letter outlines GAO's responsibilities and mission to provide the Congress with accurate, objective, nonpartisan, and constructive analyses and advice, and the resources needed to achieve its goals and objectives to help improve government performance, accountability, and transparency.

Overview A-1

The overview provides a summary of GAO's staffing and funding proposed for fiscal year 2021, including the core principles that guided planning activities and how GAO plans to use its resources to accomplish its mission.

Appropriation Language B-1

Summary Budget Schedules C-1

This section includes summary schedules displaying GAO's proposed staffing and funding resources including:

- Resource summaries by program;
- Analyses of changes from fiscal year 2020 to 2021:
 - By program, and
 - By object classification;
- Explanation of changes; and
- Resource summaries by object classification.

BUDGETARY RESOURCES

This section describes the program components, accomplishments, plans, and resource needs for our 3 major programs, including human capital, engagement support, and infrastructure operations.

Human CapitalD-1

This section describes:

- Salaries and benefits;
- Recruitment and retention;
- Training and development; and
- Other compensation.

Engagement SupportE-1

This section includes:

- Travel; and
- Specialized data and expertise.

Infrastructure Operations F-1

This section includes:

- Information technology;
- Building and security services; and
- Administrative support services.

Center for Audit Excellence G-1

Office of Inspector GeneralH-1

MISSION, RESULTS, PERFORMANCE AND PLANS

Fiscal Year 2021 Performance Plan I-1

This section includes GAO's fiscal year 2021 performance plan consistent with the Government Performance and Results Act of 1993, as amended. It describes GAO's strategic planning process and provides information on GAO's goals, performance results for fiscal years 2015–2018, and describes performance measures and planned work for fiscal years 2020 and 2021.

Overview of Fiscal Year 2021 Budget

GAO's fiscal year (FY) 2021 budget requests \$706.1 million in appropriated funds and utilizes \$36.3 million in offsets. These resources will support 3,250 full-time equivalents (FTE) and continue critical building and information technology investments that will improve our work product and enable our staff to be more efficient. We will continue to bolster entry-level and intern positions to address succession planning and fill critical skill gaps. These efforts will help ensure that GAO recruits and retains a talented and diverse workforce to meet the priority needs of the Congress.

In FY 2021, we will continue to support Congressional oversight across the wide array of government programs and operations. We also will continue to increase our capabilities to review the opportunities and challenges associated with evolving science and technology issues.

A 2019 report to Congress from the National Academy of Public Administration (NAPA) found that Congress needs to bolster its ability to obtain and use information regarding emerging technology. Among NAPA's recommendations was that GAO continue to expand its production of technical assessments and short-to-medium term studies on emerging technology issues. Additionally, in report language accompanying the Further Consolidated Appropriations Act, 2020, funding GAO's FY 2020 operations, Congress encouraged GAO to dedicate a specific number of experts to work exclusively on GAO's Science, Technology Assessment, and Analytics (STAA) team that was created in January 2019. Consistent with Congress' desire for GAO to provide greater assistance in the science and technology realm, in this budget GAO is requesting additional funding for staff and information technology tools to support Congress in this area.

We are committed to providing program and technical expertise to support Congress in overseeing the executive branch; evaluating government programs, operations and spending priorities; and assessing information from outside parties. GAO is recognized for its non-partisan, first-hand, objective, fact-based, and reliable analyses across the full breadth and scope of the federal government's extensive interests.

In FY 2019, we received requests for work from 90 percent of the standing committees of the Congress supporting a broad range of congressional interests. Our senior executives were asked to testify before committees or subcommittees on a wide array of topics. A summary of GAO's funding sources.

Table 1: FY 2019 – 2021 Summary of Budget Authority (dollars in thousands)

Funding Source	Fiscal Year 2019 Actual		Fiscal Year 2020 Enacted		Fiscal Year 2021 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
Salaries and Expenses Appropriation	3,161	\$589,638	3,200	\$630,000	3,250	\$706,142
Offsets ¹		47,388		48,321		36,321
Total budget authority	3,161	\$637,026	3,200	\$678,321	3,250	\$742,463

¹ Includes offsetting receipts and reimbursements from program and financial audits; rental income; training fees; collection of bid protest system user fees; supplemental funds for disaster audits; and for FY 2019, carryover of FY 2018 two-year funds.

Summary of Resources by Program

A summary of GAO's resources by program is shown in Table 2. Additional information on each program, including FY 2019 accomplishments and plans for FYs 2020 and 2021, are included in the program sections of this document.

In preparing the FY 2021 budget, GAO's goal is to maximize its support to the Congress, while implementing actions that will optimize staffing and business operations.

GAO's proposed FY 2021 funding will enable GAO to support its staff capacity to 3,250 FTEs, address succession planning challenges, and fill critical skill gaps.

Table 2: FY 2019 – 2021 Summary of Resources by Program (dollars in thousands)								
Program	Fiscal Year 2019 Actual		Fiscal Year 2020 Enacted		Fiscal Year 2021 Request		Net Change Fiscal Year 2020 / 2021	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Human capital	3,161	\$516,458	3,200	\$557,843	3,250	\$800,307	50	\$42,464
Engagement support		14,055		13,000		14,800		1,800
Infrastructure operations		105,452		106,378		124,856		18,478
Center for Audit Excellence		1,061		1,100		2,500		1,400
Total budget authority	3,161	\$637,026	3,200	\$678,321	3,250	\$742,463	50	\$64,142
Offsets ¹		(\$47,388)		(\$48,321)		(\$38,321)		\$12,000
Appropriation		\$589,638		\$630,000		\$706,142	50	\$76,142

The FY 2021 budget seeks funding to cover infrastructure operations projects that are essential to ensure our continued productivity and effectiveness. Addressing these items now will avoid more costly repairs in the future and ensure our ability to exchange data with other federal entities. These critical investments are discussed further in the infrastructure operation section of this document.

Summary of Changes

A summary of the changes in our funding requirements from FY 2020 to 2021 is shown in Table 3. Additional information on the components of these changes is included in the Summary Schedules section of this document.

Pay-Related Changes

GAO's FY 2021 budget includes an increase of \$40.528 million to cover pay-related changes to support our workforce and enable GAO to address critical skill gaps. These costs include:

- the January 2021 3.0 percent pay raise;
- full year (annualized) cost of assumed FY 2020 hiring, promotions, and pay adjustments;

- hiring to achieve our projected FY 2021 FTE level and fill critical vacancies;
- performance-based merit increases in lieu of executive branch within-grade increases; and
- employer benefits contributions programs, such as health benefits and federal employee retirement contributions.

Price Level Changes

GAO's FY 2021 budget request includes an increase of \$2.287 million to cover mandatory price level increases imposed by vendors and contractors to maintain current service levels.

Program Changes

GAO's FY 2021 budget proposes an increase of \$33.327 million, primarily for IT and headquarters facility improvements, and a decrease in the amount of offsets utilized, primarily reflecting the reduction in Supplemental Disaster funds available.

Table 3: Fiscal Year 2020 – 2021 Summary of Changes (dollars in thousands)

Funding Source	Staff on Board at Fiscal Year-end	FTE Usage	Amount
FY 2020 Enacted	3,166	3,200	\$630,000
FY 2021 Changes:			
Pay-related costs			40,528
Price Level			2,287
Program changes			33,327
Total FY 2021 Changes	90	50	\$76,142
FY 2021 Appropriation	3,256	3,250	\$706,142

GOVERNMENT ACCOUNTABILITY OFFICE
SALARIES AND EXPENSES

For necessary expenses of the Government Accountability Office, including not more than \$12,500 to be expended on the certification of the Comptroller General of the United States in connection with official representation and reception expenses; temporary or intermittent services under section 3109(b) of title 5, United States Code, but at rates for individuals not more than the daily equivalent of the annual rate of basic pay for level IV of the Executive Schedule under section 5315 of such title; hire of one passenger motor vehicle; advance payments in foreign countries in accordance with section 3324 of title 31, United States Code; benefits comparable to those payable under sections 901(5), (6), and (8) of the Foreign Service Act of 1980 (22 U.S.C. 4081(5), (6), and (8)); and under regulations prescribed by the Comptroller General of the United States, rental of living quarters in foreign countries, **[\$630,000,000]: \$706,142,000; Provided**, That, in addition, **\$31,342,000**, of payments received under sections 782, 791, 3521, and 9105 of title 31, United States Code, shall be available without fiscal year limitation: *Provided further*, That this appropriation and appropriations for administrative expenses of any other department or agency which is a member of the National Intergovernmental Audit Forum or a Regional Intergovernmental Audit Forum shall be available to finance an appropriate share of either Forum's costs as determined by the respective Forum, including necessary travel expenses of non-Federal participants: *Provided further*, That payments hereunder to the Forum may be credited as reimbursements to any appropriation from which costs involved are initially financed.

Schedule A

Government Accountability Office
Resource Summary by Program
(dollars in thousands)

Program	Fiscal Year 2019 Actual		Fiscal Year 2020 Enacted		Fiscal Year 2021 Request		Net Change Fiscal Year 2020 / 2021	
	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount
Human capital	3,161	\$516,458	3,200	\$557,843	3,250	\$600,307	50 1.6%	\$42,464 7.6%
Engagement support		14,055		13,000		14,800		1,800 13.8%
Infrastructure operations		105,452		106,378		124,856		18,478 17.4%
Center for Audit Excellence		1,061		1,100		2,500		1,400 127.3%
Total budget authority	3,161	\$637,026	3,200	\$678,321	3,250	\$742,463	50 1.6%	\$64,142 9.5%
Offsetting Collections:								
Offsetting Receipts		(\$18,461)		(\$23,700)		(\$30,242)		(\$6,542)
Center for Audit Excellence		(806)		(1,100)		(1,100)		0
Subtotal		(\$19,267)		(\$24,800)		(\$31,342)		(\$6,542) 26.4%
Permanent Collections/Carryover Authorities:								
Offsetting Receipts from Prior Year Authority		\$0		(\$7,310)		\$0		\$7,310
Reimbursements		(8,669)		(6,211)		(3,572)		2,639
Disaster Supplemental		(9,581)		(10,000)		(1,407)		8,593
FY 2018 Direct Appropriations - 2 Year Fund		(9,671)		0		0		0
Subtotal		(\$28,121)		(\$23,521)		(\$4,979)		\$18,542
Total Offsets		(\$47,388)		(\$48,321)		(\$36,321)		\$12,000 (24.6%)
Appropriation	3,161	\$589,638	3,200	\$630,000	3,250	\$706,142	50	\$76,142 12.1%

Additional information can be found on pages C-5 – C-9 of this section, and in the Human Capital, Engagement Support, and Infrastructure Operations sections.

Schedule A-1

Government Accountability Office
Resource Details by Program
(dollars in thousands)

Program	Fiscal Year 2019 Actual		Fiscal Year 2020 Enacted		Fiscal Year 2021 Request		Net Change Fiscal Year 2019/2020	
	FTEs	Amount	FTEs	Amount	FTEs	Amount	FTEs	Amount
Human capital								
Salaries and benefits	3,161	\$502,435	3,200	\$542,867	3,250	\$582,604	50 1.6%	\$39,737 7.3%
Recruitment and retention		7,581		8,126		10,003		1,877 23.1%
Training and development		3,737		3,800		4,600		800 21.1%
Other compensation		2,705		3,050		3,100		50 1.6%
Subtotal	3,161	\$516,458	3,200	\$557,843	3,250	\$600,307	50 1.6%	\$42,464 7.6%
Engagement support								
Travel		\$8,020		\$7,500		\$8,550		\$1,050 14.0%
Specialized data and expertise		6,035		5,500		6,250		750 13.6%
Subtotal		\$14,055		\$13,000		\$14,800		\$1,800 13.8%
Infrastructure operations								
Information technology		\$55,721		\$52,750		\$65,000		\$12,250 23.2%
Building and security		40,553		43,500		48,500		5,000 11.5%
Administrative and support services		9,178		10,128		11,356		1,228 12.1%
Subtotal		\$105,452		\$106,378		\$124,856		\$18,478 17.4%
Center for Audit Excellence		\$1,061		\$1,100		\$2,500		\$1,400 127.3%
Total budget authority	3,161	\$637,026	3,200	\$678,321	3,250	\$742,463	50 1.6%	\$64,142 9.5%
Total Offsets*		(\$47,386)		(\$48,321)		(\$36,321)		\$12,000 (24.8%)
Appropriation		\$589,638		\$630,000		\$706,142		\$76,142 12.1%

* Includes offsetting receipts and reimbursements from program and financial audits; rental income; training fees; collection of bid protest system user fees; supplemental funds for disaster audits; and for FY 2019, carryover of FY 2018 two-year funds.

Schedule B

Government Accountability Office
Resource Summary
Analysis of Changes by Program
(dollars in thousands)

Program	Fiscal Year 2021 Changes					
	Fiscal Year 2020 Enacted	Pay-Related	Price Level	Program Change	Total Net Change	Fiscal Year 2021 Request
Human capital	\$557,843	\$40,528	\$70	\$1,866	\$42,464	\$600,307
Engagement support	13,000	0	217	1,583	1,800	14,800
Infrastructure operations	106,378	0	2,000	16,478	18,478	124,856
Center for Audit Excellence	1,100	0	0	1,400	1,400	2,500
Total budget authority	\$678,321	\$40,528	\$2,287	\$21,327	\$64,142	\$742,463
Offsetting Collections:						
Offsetting receipts	(\$23,700)	\$0	\$0	(\$6,542)	(\$6,542)	(\$30,242)
Center for Audit Excellence	(1,100)	0	0	0	0	(1,100)
Subtotal	(\$24,800)	\$0	\$0	(\$6,542)	(\$6,542)	(\$31,342)
Permanent Collections / Carryover Authorities:						
Offsetting Receipts from Prior Year Authority	(\$7,310)	\$0	\$0	\$7,310	\$7,310	\$0
Reimbursements	(6,211)	0	0	2,639	2,639	(3,572)
Disaster Supplemental	(10,000)	0	0	8,593	8,593	(1,407)
Subtotal	(\$23,521)	\$0	\$0	\$18,542	\$18,542	(\$4,979)
Total Offsets	(\$48,321)	\$0	\$0	\$12,000	\$12,000	(\$36,321)
Salaries & expenses appropriation	\$630,000	\$40,528	\$2,287	\$33,327	\$76,142	\$706,142

Additional information can be found on pages C-5 – C-9 of this section, and in the Human Capital Engagement Support, and Infrastructure Operations sections.

Schedule B-1

Government Accountability Office
Resource Summary
Detailed Analysis of Changes by Program
(dollars in thousands)

Program	Fiscal Year 2020 Enacted	Fiscal Year 2021 Changes				Fiscal Year 2021 Request
		Pay-Related	Price Level	Program Change	Total Net Change	
Human capital						
Salaries and benefits	\$542,867	\$39,737	\$0	\$0	\$39,737	\$582,604
Recruitment and retention	8,126	741	10	1,126	1,877	10,003
Training and development	3,800	0	60	740	800	4,600
Other compensation	3,050	50	0	0	50	3,100
Subtotal	\$557,843	\$40,528	\$70	\$1,866	\$42,464	\$600,307
Engagement support						
Travel	\$7,500	\$0	\$121	\$929	\$1,050	\$8,550
Specialized data and expertise	5,500	0	96	654	750	6,250
Subtotal	\$13,000	\$0	\$217	\$1,583	\$1,800	\$14,800
Infrastructure operations						
Information technology	\$52,750	\$0	\$912	\$11,338	\$12,250	\$65,000
Building and security services	43,500	0	974	4,026	5,000	48,500
Administrative and support services	10,128	0	114	1,114	1,228	11,356
Subtotal	\$106,378	\$0	\$2,000	\$16,478	\$16,478	\$124,856
Center for Audit Excellence	\$1,100	\$0	\$0	\$1,400	\$1,400	\$2,500
Total budget authority	\$678,321	\$40,528	\$2,287	\$21,327	\$64,142	\$742,463
Offsetting Collections:						
Offsetting receipts	(\$23,700)	\$0	\$0	(\$6,542)	(\$6,542)	(\$30,242)
Center for Audit Excellence	(1,100)	0	0	0	0	(1,100)
Subtotal	(\$24,800)	\$0	\$0	(\$6,542)	(\$6,542)	(\$31,342)
Permanent Collections/Carryover Authorities						
Offsetting Receipts from Prior Year Authority	(\$7,310)	\$0	\$0	\$7,310	\$7,310	\$0
Reimbursements	(6,211)	0	0	2,639	2,639	(3,572)
Disaster Supplemental	(10,000)	0	0	8,593	8,593	(1,407)
Subtotal	(\$23,521)	\$0	\$0	\$18,542	\$18,542	(\$4,979)
Total Offsets	(\$48,321)	\$0	\$0	\$12,000	\$12,000	(\$36,321)
Salaries & expenses appropriation	\$630,000	\$40,528	\$2,287	\$33,327	\$76,142	\$706,142

Pay-Related Costs

(dollars in thousands)

GAO's fiscal year 2021 budget includes \$40.528 million to cover mandatory pay-related costs and other benefits to support a highly skilled workforce and enable GAO to address succession planning and skill gaps.

Table 1a: Supplemental Data on Pay-Related Costs

Program	Amount of change
1. Salaries and benefits	
a) Hiring	\$29,082
b) Attrition	(18,080)
c) Annualization	6,148
d) Civilian pay raise	12,873
e) Performance-based merit increases	7,889
f) Promotions	1,825
<i>Subtotal – salaries and benefits</i>	<i>\$39,737</i>
2. Recruitment and retention	
a) Non-SES Bonuses	\$541
b) SES Bonuses / SES PBC Cash	150
c) Unit incentive awards	50
<i>Subtotal – recruitment and retention</i>	<i>741</i>
3. Other compensation	
a) Lump sum terminal leave	50
Total pay-related costs	\$40,528

Explanation of Changes

1. Salaries and benefits

- a) Funds the cost to complete the multiyear strategy to rebuild staff capacity. In fiscal year 2021, GAO plans to hire about 280 permanent staff and 75 interns to replace attrition, address succession planning and skill gap needs, and fill critical vacancies. The funding supports a projected 3,250 full-time equivalents (FTE).
- b) Reflects a reduction in salary and benefits costs from the projected retirement or attrition of 190 employees.
- c) Represents the amount needed to maintain the onboard staffing level at the start of fiscal year 2021 assuming no other changes in staffing or pay, i.e., to achieve the full-year (annualized) cost of fiscal year 2020 hiring and pay adjustments.

- d) Funds the cost of the anticipated January 2021 civilian pay raise at 3.0 percent. The GAO Act of 2008 requires GAO to provide employees who are meeting expectations an annual increase in base salary that is equal to the General Schedule increase for their particular localities.
- e) Funds the cost of performance-based merit increases to base pay in lieu of executive branch General Schedule—equivalent within-grade increases for staff covered under the banded pay systems.
- f) Provides funds to competitively promote staff to fill succession planning needs and ensure that GAO has staff at the appropriate levels who can assume positions of more responsibility.

2. Recruitment and retention

- a) Supports funds for non-SES employee merit awards and recognition.
- b) Funds a slight increase in the the cost of SES performance bonuses.
- c) Funds a slight increase in the cost of team and office merit awards and recognition.

3. Other compensation

- a) Funds the increase cost of lump sum terminal leave for separating employees.

Price Level Changes

(dollars in thousands)

GAO's fiscal year 2021 budget includes an increase of \$2.287 million to cover inflationary cost increases for training, information technology, building and security services, and administrative operations based on negotiated vendor increases, historical data, and other guidance.

Table 1b: Supplemental Data on Price Level Costs	
Program	Amount of change
1. Training and development	\$60
2. Specialized data and expertise	96
3. Building and security services	974
4. Administrative support services	124
5. Information Technology	912
6. Travel	121
Total price level changes	\$2,287

Program Changes

(dollars in thousands)

GAO's FY 2021 budget includes a net increase of \$33.327 million in program changes, including supporting human capital programs, enhancing GAO's IT infrastructure, and improving building maintenance and security operations.

Table 1c: Supplemental Data on Program Changes

Program	Amount of change
1. Student Loan Repayment	\$1,000
2. Transit Subsidy	126
3. Building and security services	4,026
4. Training and development	740
5. Information Technology	11,338
6. Travel	929
7. Specialized data and expertise	654
8. Administrative services	1,114
9. Center for Audit Excellence	1,400
10. Offsets Utilized	12,000
Total price level changes	\$33,327

Explanation of Changes

1. Provides an increase of \$1.0 million in student loan repayments to support the increase in GAO's staffing level in FY 2021. These funds improve staff recruitment and retention rates, and help GAO remain competitive for top talent in the science, technology, and legal fields.
2. Transit benefit increase of \$126 thousand supports the increase in the number of staff on board.
3. Increase of \$4.026 million will support critical deferred maintenance in the headquarters building, fixed costs tied to field office relocations in Los Angeles and Chicago. At the end of FY 2019, GAO's deferred maintenance backlog totaled \$80.052 million.
4. Increase of \$740 thousand in training necessary to support mandatory training for staff in FY 2021.
5. Information Technology increase of \$11.338 million will improve and modernize GAO's aging IT infrastructure and legacy systems, enhance security, minimize support risks, reduce software customization, and maintain tools needed to achieve the agency's mission. In addition, these funds will support analytical tools and IT infrastructure for GAO's new Science, Technology Assessment, and Analytics (STAA) team.
6. Travel increase of \$929 thousand reflects increased staffing levels and audit related travel.

7. Increase of \$654 thousand in specialized data and expertise provides funding for audit support contract services and expertise.
8. Increase of \$1.114 million reflects continued move towards shared services for administrative activities in human capital, accounting, and other areas.
9. The Center for Audit Excellence increase reflects the addition of five permanent staff and related expenses to build GAO's capability to support Center operations. The Center will continue to operate as a fee-based model for projects and in some cases use appropriated funds to augment projects and strengthen internal operations.
10. The decrease in offsets utilized of \$12.0 million primarily reflects the reduction in Supplemental Disaster appropriations used, assumes no additional disaster funding in FY 2021, and the end of availability of carryover funding.

Schedule A-2

Government Accountability Office
Resource Summary by Object Classification
(dollars in thousands)

Object Classification	Fiscal Year 2019 Actual	Fiscal Year 2020 Enacted	Fiscal Year 2021 Request	Net Change Fiscal Year 2020/2021
11.1 Full-time permanent staff	\$367,297	\$391,084	\$414,939	6.1%
11.3 Other than full-time permanent staff	15,928	15,449	14,649	(5%)
11.5 Other personnel compensation	4,659	8,329	9,553	14.7%
12.1 Civilian personnel benefits	120,117	137,452	154,116	12.1%
13.0 Benefits for former personnel	232	269	277	3.0%
Total pay-related	\$508,233	\$552,583	\$593,534	7.4%
21.0 Travel and transportation of persons	\$8,186	\$7,500	\$8,550	14.0%
23.1 Rental payments to GSA	6,052	5,824	5,936	1.9%
23.2 Rental payments to others	19	15	29	93.3%
23.3 Communications, utilities, and misc. charges	10,165	11,084	15,659	41.3%
24.0 Printing and reproduction	94	74	76	2.7%
25.1 Advisory and assistance services	3,662	2,919	4,495	54.0%
25.2 Other services	21,312	21,260	30,834	45.0%
25.3 Goods and services from government accounts	891	710	726	2.3%
25.4 Operation and maintenance of facilities	11,131	8,872	11,041	24.4%
25.6 Medical care	510	406	415	2.2%
25.7 Operation and maintenance of equipment	57,995	60,078	59,900	(0.3%)
26.0 Supplies and materials	495	395	404	2.3%
31.0 Equipment	1,381	1,101	1,745	58.5%
32.0 Land and structures	6,898	5,498	9,117	65.8%
42.0 Insurance claims and indemnities	2	2	2	0.0%
Total non pay-related	\$128,793	\$125,738	\$148,929	18.4%
Total budget authority	\$637,026	\$678,321	\$742,463	9.5%
Offsetting Collections:				
Offsetting receipts	(\$18,461)	(\$23,700)	(\$30,242)	27.60%
Center for Audit Excellence	(806)	(1,100)	(1,100)	0.0%
Subtotal	(\$19,267)	(\$24,800)	(\$31,342)	26.4%
Permanent Collections/Carryover Authorities:				
Offsetting Receipts from Prior Year Authority	\$0	(\$7,310)	\$0	(100.0%)
Reimbursements	(8,869)	(6,211)	(3,572)	(42.5%)
Disaster Supplemental	(9,581)	(10,000)	(1,407)	(86%)
FY18 Direct Appropriations - 2 Year Fund	(9,671)	0	0	N/A
Subtotal	(\$28,121)	(\$23,521)	(\$4,979)	(79%)
Total Offset	(\$47,388)	(\$48,321)	(\$36,321)	(25%)
Salaries and expenses appropriation	\$589,638	\$630,000	\$706,142	12.1%

Schedule B-2

Government Accountability Office
Resource Summary
Analyses of Changes by Object Classification
(dollars in thousands)

Object classification	Fiscal Year 2020 Enacted	Fiscal Year 2021 Changes				Fiscal Year 2021 Request
		Pay Related	Price Level	Program Change	Total Net Change	
11.1 Full-time permanent staff	\$391,084	\$23,855	\$0	\$0	\$23,855	\$414,939
11.3 Other than full-time permanent staff	15,449	(800)	0	0	(800)	14,649
11.5 Other personnel compensation	8,329	801	0	423	1,224	9,553
12.1 Civilian personnel benefits	137,452	16,664	0	0	16,664	154,116
13.0 Benefits for former personnel	269	8	0	0	8	277
Total pay-related	\$552,583	\$40,528	\$0	\$423	\$40,951	\$593,534
21.0 Travel and transportation of persons	\$7,500	\$0	\$117	\$833	\$1,050	\$8,550
23.1 Rental payments to GSA	5,824	0	112	0	112	5,936
23.2 Rental payments to others	15	0	14		14	29
23.3 Comm., utilities, and misc. charges	11,084	0	188	4,387	4,575	15,659
24.0 Printing and reproduction	74	0	2	0	2	76
25.1 Advisory and assistance services	2,919	0	0	1,576	1,576	4,495
25.2 Other services	21,260	0	424	9,150	9,574	30,834
25.3 Goods and services from gov't accounts	710	0	16	0	16	726
25.4 Operation and maintenance of facilities	8,872	0	1,244	925	2,169	11,041
25.6 Medical care	406	0	9	0	9	415
25.7 Operation and maintenance of equipment	60,078	0	0	(178)	(178)	59,900
26.0 Supplies and materials	395	0	9	0	9	404
31.0 Equipment	1,101	0	25	619	644	1,745
32.0 Land and structures	5,498	0	127	3,492	3,619	9,117
42.0 Insurance claims and indemnities	2	0	0	0	0	2
Total non pay-related	\$125,738	\$0	\$2,287	\$20,904	\$23,191	\$148,929
Total budget authority	\$678,321	\$40,528	\$2,287	\$21,327	\$64,142	\$742,463
Offsetting Collections:						
Offsetting receipts	(\$23,700)	\$0	\$0	(\$6,542)	(\$6,542)	(\$30,242)
Center for Audit Excellence	(1,100)	0	0	0	0	(1,100)
Subtotal	(\$24,800)	\$0	\$0	(\$6,542)	(\$6,542)	(\$31,342)
Permanent Collections/Carryover Authorities:						
Offsetting Receipts from Prior Year Authority	(\$7,310)	\$0	\$0	\$7,310	\$7,310	\$0
Reimbursements	(6,211)	0	0	2,639	2,639	(3,572)
Disaster Supplemental	(10,000)	0	0	8,593	8,593	(1,407)
Subtotal	(\$23,521)	\$0	\$0	\$18,542	\$18,542	(\$4,979)
Total Offsets	(\$48,321)	\$0	\$0	\$12,000	\$12,000	(\$36,321)
Salaries and expenses appropriation	\$630,000	\$40,528	\$2,287	\$33,327	\$76,142	\$706,142

Schedule C

Government Accountability Office
Detailed Analyses of Changes by Object Classification
Fiscal Year 2020 to 2021
(dollars in thousands)

	FTEs	Amount
Fiscal year 2020 budget authority	3,200	\$678,321
Adjustments to base		
A. Pay-related costs		
1. Full-time permanent staff		\$23,855
2. Other than full-time permanent staff		(800)
3. Other personnel compensation		801
4. Civilian personnel benefits		16,664
5. Benefits for former personnel		8
Subtotal—Pay-related costs		\$40,528
B. Price Level		
1. Travel and transportation of persons		\$117
2. Rental payments to GSA		\$112
3. Rental payments to others		\$14
4. Communications, utilities, and miscellaneous charges		\$188
5. Printing and reproduction		\$2
6. Advisory and assistance services		0
7. Other services		424
8. Goods and services from government accts.		16
9. Operation and maintenance of facilities		1,244
10. Medical care		9
11. Operation and maintenance of equipment		0
12. Supplies and materials		9
13. Equipment		25
14. Land and structures		127
Subtotal—Price level		\$2,287
C. Program changes		
1. Civilian personnel benefits		0
2. Communications, utilities, and miscellaneous charges		\$4,387
3. Travel and transportation of persons		\$933
4. Advisory and assistance services		1,576
5. Other services		9,150
6. Operations and maintenance of facilities		925
7. Operation and maintenance of equipment		(178)
8. Equipment		619
9. Land and structures		3,492
10. Other personnel compensation		423
Subtotal—Program changes		\$21,327
Total changes to base	50	\$64,142
Fiscal year 2021 budget authority	3,250	\$742,463
Offsets ^a		(\$36,321)
Salaries and expenses appropriation	3,250	\$706,142

^a Includes offsetting receipts and reimbursements from program and financial audits; rental income; training fees; collection of bid protest system user fees; and supplemental funds for disaster audits.

Human Capital

GAO's workforce is the agency's greatest asset. As a knowledge-based organization, human capital costs represent over 80 percent of our total costs. To continue achieving a high level of performance, it is critical that GAO invest in its employees by providing them with competitive benefits along with the developmental and leadership experiences required for professional growth.

With modern human capital policies, programs, and practices, GAO is recognized as one of the best places to work in the private and public sectors in Washington, D.C., and has successfully attracted and retained a talented, multidisciplinary, diverse, high-performing knowledgeable workforce whose services are in continuous high demand by the Congress. GAO's human capital efforts align with our Strategic Plan and focus on attracting, retaining, motivating, and rewarding a results-oriented workforce while being fiscally responsible.

GAO's FY 2021 budget supports a staffing level of 3,250 full-time equivalents (FTEs). This staffing level will allow GAO to meet the highest priority needs of Congress and the nation and produce results that help the federal government address its fiscal and other challenges. Given the size of the federal budget and the multiyear actions needed to address the gravity of the government's fiscal condition, investing resources in GAO is prudent and results in a significant return on investment.

In addition to supporting a staffing level of 3,250 FTE, our FY 2021 budget of \$600.3 million for human capital programs also provides funds for recruitment, retention, and development programs to attract and retain a skilled workforce. GAO's human capital costs consist of salaries and benefits, recruitment and retention, training and development, and other compensation such as separation payments, reimbursements to the Department of Labor for unemployment compensation, and differential pay.

Table 1 provides a summary of these components that are discussed in the following sections.

Table 1: Summary of Budgetary Resources – Human Capital (dollars in thousands)

Program	Fiscal Year 2019 Actual	Fiscal Year 2020 Enacted	Fiscal Year 2021 Request	Net Change Fiscal Year 2020 / 2021
Salaries and benefits	\$502,435	\$542,867	\$582,604	7.3%
Recruitment and retention	7,581	8,126	10,003	23.1%
Training and development	3,737	3,800	4,600	21.1%
Other compensation	2,705	3,050	3,100	1.6%
Total	\$516,458	\$557,843	\$600,307	7.6%

Salaries and Benefits

The Salaries and Benefits Program includes funding for base salaries and other payments that are part of employees' personal compensation. Also included are funds for employer contributions to employee benefit plans, including health benefits, life insurance, the Civil Service Retirement System (CSRS), the Federal Employees' Retirement System (FERS), the

Thrift Savings Plan, the Social Security trust fund, and recruitment and retention incentive payments. Salary and benefits costs have been developed consistent with guidance from the Appropriations Committees and the Legislative Branch Financial Management Council (LBFMC).

Fiscal Year 2021 Budget

GAO's FY 2021 budget supports 3,250 FTEs. Table 2 summarizes GAO's staffing profile and related resources.

Table 2: Summary of Budgetary Resources – Salaries and Benefits (dollars in thousands)

Salaries and Benefits	Fiscal Year 2019 Actual	Fiscal Year 2020 Enacted	Fiscal Year 2021 Requested	Net Change Fiscal Year 2020 / 2021
<i>Number of full-time equivalents (FTEs)</i>	3,161	3,200	3,250	50
<i>Number of staff on board at year end</i>	3,216	3,166	3,256	90
Salaries and benefits	\$502,435	\$542,867	\$582,604	7.3%

The funds support FY 2021 workforce activity and pay actions, including the anticipated January 2021 pay raise, performance-based merit salary increases, hiring to increase staff capacity to 3,250 FTEs, and an amount to promote staff to positions of higher responsibility to maintain the proper mix of skills and meet succession planning needs.

Table 3: Detail of Salaries and Benefits Changes (dollars in thousands)

Activity	Amount
Hiring	\$29,082
Attrition	(18,080)
Annualization	6,148
Civilian pay raise	12,873
Performance-based merit increases	7,889
Promotions	1,825
Total	\$39,737

Hiring

Our FY 2021 workforce plan proposes hiring about 280 staff and increasing staff capacity to 3,250 FTEs (net of attrition). The planned hiring is essential to help ensure our ability to (1) respond in a timely manner to congressional requests and workload demands, (2) achieve the goals and objectives outlined in our strategic plan, (3) meet succession-planning needs by developing our workforce to replace the knowledge and skills of retiring senior staff, and (4) maintain the proper mix of skills and experience levels across the agency.

GAO will also recruit staff to maintain our intern program, which provides an opportunity for both GAO and interns to assess their potential for employment at GAO. This has been a successful tool for recruiting, training, and vetting entry-level staff.

Our budget also includes funds to support the use of reemployed annuitants, on an as needed basis, to meet emergency or unusual circumstances (including knowledge transfer and succession planning) as we rebuild staff capacity, and to support special projects over the next several years.

Attrition

Salary and benefits costs reflect a reduction of \$18.1 million from the projected retirement or departure of 190 employees.

Annualization

Our budget includes an increase to salary and benefits of \$6.1 million for the estimated full-year (annualized) cost of FY 2020 hiring, promotions, and pay adjustments.

Civilian pay raise

Our budget includes \$12.9 million to cover the anticipated January 2021 civilian pay raise of 3.0 percent. The GAO Act of 2008 requires GAO to provide employees who are meeting expectations an annual increase in base salary that is equal to the General Schedule increase for their particular locality.

Performance-based merit increases¹

Our budget includes \$7.9 million to address the cost of performance-based merit salary increases provided to employees covered under our banded pay systems in lieu of executive-branch within-grade pay increases. Our FY 2021 budget is based on historical data on the number and percentage of staff receiving such increases.

GAO negotiates with the GAO Employees' Organization IFPTE, Local 1921, to determine the percent and amount of the increase considering a number of factors, including market compensation principles and funding limitations.

Promotions

Our budget includes \$1.8 million to competitively promote staff to positions of increased responsibility. Our estimate is based on a proposed workforce plan that reflects the number and level of promotions needed to maintain our preferred mix of skills and experience levels as well as meet succession-planning needs.

¹ By statute, GAO has two positions – the Comptroller General in accordance with 31 U.S.C. 703(f) (1) and the Inspector General in accordance with 31 U.S.C. 705(b) (3) – where the rate of compensation exceeds the level established for members. In addition, after consulting with Subcommittee leaders, in fiscal year 2014, under the authority of 31 U.S.C. 733, GAO set the salary cap for Managing Directors and senior SES members to the same rate as SES in the Executive Branch, which exceeds the level established for members. The increase is necessary to competitively recruit and retain SES staff.

Salaries and Benefits Components

Along with funding for base salaries and other payments that are part of employees' personal compensation, salaries and benefits costs include funds for employer contributions to employee benefit plans, including health benefits, life insurance, the Civil Service Retirement System (CSRS), the Federal Employees' Retirement System (FERS), the Thrift Savings Plan, and the Social Security trust fund. Funds are included in FY 2020 and FY 2021 benefits estimates to cover the Federal Employees Retirement System (FERS) employer contribution rate increase, effective October 1, 2020. Table 4 summarizes GAO's salaries and employer contribution estimates.

Table 4: Budgetary Resources – Salaries and Benefits Components (dollars in thousands)

Salaries and Benefits	Fiscal Year 2019 Actual	Fiscal Year 2020 Enacted	Fiscal Year 2021 Request	Net Change Fiscal Year 2020 / 2021
Salaries	\$382,392	\$405,515	\$428,588	5.7%
Health Care	25,999	27,329	29,144	6.6%
Insurance and other benefits ¹	44,316	48,468	53,680	10.8%
Federal Employee Retirement System	48,641	60,490	70,149	16.0%
Civil Service Retirement System	1,087	1,065	1,043	(2.1%)
Salaries and benefits	\$502,435	\$542,867	\$582,604	7.3%

¹ Includes contributions for FICA, Medicare, Thrift Savings Program, retention and recruitment.

Recruitment and Retention

GAO's focus and priority continues to be on sustaining a diverse professional organization that attracts recruits, retains, and rewards a highly skilled, high-performing workforce. To do this, GAO has implemented a wide range of work-life employee benefits that help both attract and retain high-quality staff. GAO's total compensation structure provides both monetary and nonmonetary benefits to staff. In addition to salary, benefits, and leave, GAO's total compensation package includes options for:

- rewards and recognition
- performance-based merit increases
- training and development
- telework
- wellness and fitness center
- student loan repayments
- transit benefits
- maxi-flex work schedules
- counseling
- childcare (limited availability)

Our retention tools are important in GAO's efforts to attract and retain high-performing employees.

Table 5 provides a summary of our recruitment and retention programs for FYs 2019 – 2021.

Table 5: Budgetary Resources – Recruitment and Retention (dollars in thousands)				
Recruitment and Retention	Fiscal Year 2019 Actual	Fiscal Year 2020 Enacted	Fiscal Year 2021 Request	Net Change Fiscal Year 2020 / 2021
Rewards and recognition	\$2,252	\$2,291	\$2,501	9.2%
Student loan repayment	1,289	1,500	2,500	66.7%
Performance-based merit pay	2,064	2,235	2,776	24.2%
Transit benefit	1,976	2,100	2,226	6.0%
Total	\$7,581	\$8,126	\$10,003	23.1%

Rewards and Recognition Program

The Rewards and Recognition Program enables GAO to recognize, motivate, and reward employees for their contributions toward achieving GAO's mission. This tool is essential to help motivate and retain the Agency's workforce. The program includes unit-level, as well as agency wide recognition programs. Performance-based awards are primarily funded through the performance management system and are included as a component of the salaries and benefits program.

Student Loan Repayment Program

GAO continues to utilize the Student Loan Program which enhances the Agency's ability to recruit and retain high performing employees. The Student Loan Repayment Program is a benefit available to all GAO employees, including those in analyst positions requiring specialized skills necessary for congressional engagements and mission support employees.

We continue to expect a high number of applicants in FY 2020 given the expected level of eligible new hires in FY 2019. GAO continues to highlight this program in its recruitment activities.

Performance-based merit pay

The FY 2021 budget includes funding for performance-based merit pay provided to staff covered under our banded pay systems in lieu of executive-branch General Schedule equivalent within-grade pay increases (steps). This portion of performance-based merit pay is provided as a cash bonus, in lieu of increasing base salary, to employees whose salary level is capped. Performance-based merit pay that affects base pay is discussed in the Salaries and Benefits section. Our estimate is based on the number and percentage of staff receiving such increases. GAO negotiates with the IFPTE to determine the percent and amount of the increase based on a number of factors, including market compensation principles and funding limitations.

Transit Benefit Program

The Transit Benefit Program established by P.L. 109-59 authorizes federal agencies to implement a transit benefit program to encourage commuters to use public transportation. This program provides tax-free public transit benefits to almost 1,857 GAO headquarters and field employees.

Between FY 2016 and 2019, GAO enrolled approximately 1,607 employees in GAO's automated transit benefit system. During FY 2019, GAO successfully transitioned 400 field office staff from the TRANServe debit card to the GSA SmartPay 3 TRANServe credit card. This change provides the agency with enhanced card control, funding flexibility, and expedited benefit delivery.

GAO continues to reduce costs by administering its own SmartBenefits program for headquarters' staff via Metro's web-based program in lieu of using DOT. This strategy continues to improve program administration; and in FY 2019, GAO saved approximately \$88,614 in administrative fees. Due to a staffing increase in FY 2019, transit participation increased from 1,875 to over 2,000 employees during FY 2019. Effective January 1, 2020, the statutory ceiling limit for transit benefits increased from \$265 to \$270.

Training and Development

The Training and Development Program plays an important role in GAO's ability to maintain a highly skilled workforce. The program, which covers internal training at GAO's Learning Center and external technical training and professional events, is critical to ensuring the continued professional development of staff, including 80 hours of training required under Generally Accepted Government Auditing Standards for analysts.

GAO's Learning Center provides training that ensures staff needs are met at each stage of their career. Drawing on adjunct faculty from across the agency, as well as external experts, GAO's training strengthens core competencies for staff in all our career categories.

In FY 2019 we:

- Conducted a Learning Needs Assessment (LNA) to determine the training needs of GAO's Operations (Ops) staff who support GAO's core mission by managing GAO's budget, facilities, human capital, training, IT, publishing and security. The LNA identified knowledge and skill gaps needed to enhance Operations staff professional development; and launched six courses on topics related to customer service, project management, team building, critical thinking, conflict management, and oral presentation skills, which will build the foundation for this curriculum.
- Developed and required staff involved in planning, directing, performing, and reporting on GAO engagements to take a 2-hour eLearning course on the revisions to auditing standards based on the 2018 Revision of Government Auditing Standards (known as the Yellow Book) issued by the Comptroller General of the United States in July 2018, which became effective for performance audits beginning on or after July 1, 2019.
- Developed and delivered required training to all non-management staff on sustaining inclusion at GAO consistent with training previously provided to SES and managers, as well as focused training for all SES and managers on recognizing ageism in the workplace and offered inclusive leadership to managers.

- Continued the GAO-wide mentoring program with the addition of Mentoring Boosts, graduated the 24th ECADP cohort, kicked off the 5th cohort of the 2 year Leadership Development Program for new managers, began discussions for a GAO-wide coaching program, developed new virtual and classroom courses in leadership topics, and provided organizational development assessments and workshops to multiple GAO teams.

Our FY 2020 budget for training and development provides funds to develop new curricula to help maintain and expand our analyst/auditor, administrative/operations, and leadership skills; continue our diversity and inclusion and organizational development efforts; meet the learning needs of our increasing mobile workforce; and provide sufficient training offerings to enable staff to meet CPE requirements and maintain professional certifications. In FYs 2020 and 2021, we plan to:

- Conduct Learning Needs Assessment in the Analyst/Auditor curricula area to identify and address critical learning and development needs for newly-hired Band I analysts;
- Continue to implement recommendations from the FY19 LNA for GAO's Operations staff; assess the effectiveness and appropriateness of courses offered in FY19; identify, offer and assess additional courses, if applicable; finalize Ops curriculum; and begin PDP-Ops LNA.
- Enhance learning technology as part of GAO's IT modernization endeavors through procuring and implementing a new Learning Management System (LMS) to best meet the training and development needs of GAO's increasingly mobile workforce.
- Design, develop, and pilot modern, interactive eLearning and/or micro-learning products that leverage the capabilities of the new LMS through engaging the learner to better meet GAO's learning goals.
- Continue organizational development efforts by delivering workshops to teams and units utilizing self-assessments such as Emergenetics and the Meyer Briggs Type Indicator (MBTI);
- Design and conduct leadership Learning Needs Assessment, with focus on needs of existing managers/leaders; begin implementation of learning needs assessment.
- Assess the need for additional training for DPMs of PDP staff; implement recommendations from needs assessment; plan additional courses, if needed.

Table 6: Budgetary Resources – Training and Development (dollars in thousands)

Training and Development	Fiscal Year 2019 Actual	Fiscal Year 2020 Enacted	Fiscal Year 2021 Request	Net Change Fiscal Year 2020 / 2021
Team and Office Training	\$1,383	\$1,300	\$1,600	23.1%
Learning Center	2,354	2,500	3,000	20.0%
Training and development	\$3,737	\$3,800	\$4,600	21.1%

Other Compensation

Other compensation provides funding for mandatory, uncontrollable costs, including separation payments to departing staff, reimbursement to the Department of Labor for unemployment compensation, and differential pay to eligible staff.

Separation Payments

These funds reimburse the DOL for unemployment compensation costs; pay separating employees who leave the federal service or transfer to a non-compatible leave system in the judicial or legislative-branches for unused compensatory time, annual leave, and credit hours; and cover the annuity of a retired Comptroller General. The proposed increase reflects changes in salary rates based on anticipated annual pay increases, promotions, and other salary rate adjustments.

Differential Pay

These funds are for differential pay for employees who (1) work more than 80 hours per pay period, (2) are entitled to differential pay, or (3) earn premium pay for duty in hazardous locations.

Table 7: Budgetary Resources – Other Compensation (dollars in thousands)

Other Compensation	Fiscal Year 2019 Actual	Fiscal Year 2020 Enacted	Fiscal Year 2021 Request	Net Change Fiscal Year 2020 / 2021
Separation payments	\$2,371	\$2,675	\$2,725	1.9%
Differential pay	334	375	375	0
Total	\$2,705	\$3,050	\$3,100	1.6%

Engagement Support

GAO's Engagement Support Program provides resources for travel and specialized data and expertise to support the agency's core mission to inform and advise the Congress. Travel is required to conduct research, including first-hand interviews and other domestic and international fieldwork that is a hallmark of GAO's work. GAO also relies on specialized data and expertise not readily available to support audits and evaluations. GAO's FY 2021 budget proposes \$14.8 million for engagement support activities.

Travel

Travel is an important tool used by GAO to provide quality work. Conducting original research through site visits, both domestic and international, is a way that GAO delivers value to the Congress. GAO's FY 2021 travel budget was increased to ensure our continued ability to leverage travel to deliver high quality products, as well as to accommodate the increase in staffing.

GAO controls travel costs by focusing on best practices to ensure the effective use of funds available for mission essential travel. Desktop video-conference capabilities have enhanced communication between GAO headquarters and our field offices as well as between GAO and other agencies, which has also facilitated more efficient use of travel resources.

Specialized Data and Expertise

GAO uses specialized data and expertise to support audits and evaluations when it is not readily available in GAO, or when there is a need for expertise within a compressed time frame that precludes the availability of GAO staff.

In FYs 2020 and 2021, GAO will purchase data and contract for specialized expertise to advise or assist in areas such as:

- drug pricing data;
 - hospital data;
 - housing data;
 - transcription services;
- domestic and international financial data;
 - translation and interpreter services; and
 - National Academy of Sciences expertise.

Table 1: Budgetary Resources – Engagement Support (dollars in thousands)				
Engagement Support	Fiscal Year 2019 Actual	Fiscal Year 2020 Enacted	Fiscal Year 2021 Request	Net Change Fiscal Year 2020 / 2021
Travel	\$8,020	\$7,500	\$8,550	14.0%
Specialized data and expertise	6,035	5,500	6,250	13.6%
Total	\$14,055	\$13,000	\$14,800	13.8%

Infrastructure Operations

GAO's Infrastructure Operations program helps ensure that our staff has the tools necessary to perform their mission-critical responsibilities. The Infrastructure Operations program covers information technology (IT), building and security services, as well as administrative support services.

GAO has continued modernizing its communications to ensure its work can be easily accessed on mobile devices and that its findings can be quickly understood. We primarily publish in PDF format, but PDFs are especially slow and unwieldy on mobile devices, and many PDF features, such as interactives, will not work on mobile devices. Currently, roughly 20 percent of our online audience comes on mobile devices – a percentage that grows nearly every week.

We learned through observation and usability testing that Congressional Staff rely on their mobile devices, often using them to find GAO reports during congressional hearings and other meetings. This further underscores the need for easily-accessible online information.

For example, we are working to access bottom line summaries for all our reports to ensure they can be quickly read and understood. We piloted a newly designed "Fast Facts" page for many of our reports. These have become highly popular with visitors to our website, improving online engagement substantially more than any other change we've made to GAO.gov.

Compared to a traditional online GAO Highlights, Fast Facts results in online readers spending more time on GAO.gov. Readers view more pages and frequently download the full report PDF, and share the reports on social media platforms like Twitter.

In FY 2021, we propose continued funding for both ongoing infrastructure operations as well as key investments to our aging IT systems and equipment. These efforts are essential to ensure continued productivity and security, as well as to minimize costly future repairs.

In FY 2021, we will continue our emphasis on a data-driven culture to help manage operations more effectively. GAO uses performance metrics, analytics, and data-driven reviews to assess program performance against benchmarks and standards to help ensure proper alignment among goals, program activities, and resources, and to enhance accountability and optimize results.

For FY 2021, GAO is requesting funds to continue efforts to modernize GAO's technology infrastructure and ensure the security of GAO systems. GAO's data center and all of its computing solutions require operational availability to support staff located in headquarters and GAO's 11 field locations throughout the United States.

Our FY 2021 budget requests funding to continue redesign of GAO's shift from owning hardware equipment and assets towards using centralized and cloud solutions that provide services to GAO and shifting our computing environment from headquarters to an offsite environment with key services provided in a more secure and efficient model.

The infrastructure operations components are summarized in table 1 and discussed in detail below.

Table 1: Budgetary Resources – Infrastructure Operations (dollars in thousands)

Program	Fiscal Year 2019 Actual	Fiscal Year 2020 Enacted	Fiscal Year 2021 Request	Net Change Fiscal Year 2020 / 2021
Information technology	\$55,721	\$52,750	\$65,000	23.2%
Building and security services	40,553	43,500	48,500	11.5%
Administrative support services	9,178	10,128	11,356	12.1%
Total	\$105,452	\$106,378	\$124,856	17.4%

Information Technology (IT)

GAO has business applications ranging from custom developed to government and commercially available products, and many rely on outdated technologies. A multi-year, multi-phase effort to improve our aging IT infrastructure and services is underway, which will allow GAO to further streamline business operations, increase staff efficiency and productivity, improve access to information, and facilitate a more agile and mobile workforce, all in a more secure environment.

In FY 2019, we enhanced the Public-facing eFile portal to support FraudNET, GAO's hotline for the public to report allegations of government fraud, waste, abuse, or mismanagement of federal funds. We also enhanced and revised our legacy Security Clearance Online System (SCOTS). The enhanced solution introduced an integrated secure, web-based application that provides reliable data and is compliant with Personnel Security Clearance Management processes.

In addition, we enabled automation of GAO's Public Request for Information, which is processed and tracked by the Audit Policy & Quality Assurance (APQA) team. The solution replaces a decades-old, unsupported database and provides capabilities to process and produce public information request reports, search records, and produce reports based on pre-defined criteria that include new and historical information.

We upgraded the virtual desktop infrastructure (VDI) to be more responsive to staff needs and better enable staff to conduct analysis and develop content. This effort will include upgrading the operating environment on our desktops to Windows 10 prior to Windows 7 being sunset in 2020.

In FY 2020 and 2021, GAO will continue the multi-phase strategy to make transformative technology decisions and investments that support GAO's mission. GAO is pursuing the modernization of IT infrastructure, legacy systems, and enhanced security to minimize support risks and reduce risks associated with software customization. IT modernization will provide enterprise-class capabilities, scalability, security, and resiliency while reducing capital expenditures and enable GAO to shift from a capital expenditure model to an operating cost model, which supports federal Cloud Smart policy.

The FY 2020 effort will include the creation of our long-term Cloud Strategy, as well as initiatives discussed below.

- Expand our IT capacity to meet the demands of a larger GAO staff and support the new Science, Technology Assessment, and Analytics (STAA) Team and Audit Innovation Lab. The Innovation Lab will help GAO meet Congress's growing need for science and technology support. It provides GAO analysts with access to new technologies and test environments to enable GAO data scientists to apply emerging methods such as artificial intelligence and distributed ledger technology to large data sets.
- Begin agency-wide rollout of New Blue, a system designed to modernize the development and distribution of our reports. New Blue allows analysts to efficiently create and manage content during the drafting and review process. It will also streamline the publishing processes to enable efficient and scalable publication of products in a responsive web-based format intended to accommodate the rising demand for content that is accessible on mobile devices and can be quickly and easily navigated by users on the go.
- Define the requirements to replace our document and records management system, which houses the supporting documentation for our audit engagements and operational support programs with a cloud-based Enterprise Content Management solution that provides enhanced functionality, including security, knowledge management, workflow automation, and business process management. This solution will exceed existing document and records management capabilities, and will do so with less administrative burden on employees.

In addition, the solution will radically improve our ability to share knowledge across the agency and automate many routine workflows for engagement management and execution as well as for internal operations, thereby freeing staff to focus their energies on content development and client and customer service.

- Replace the agency's outdated Learning Management and Performance Management systems with a cloud-based Talent Management information system to track and manage training and development activities of GAO staff.
- Implement a cloud-hosted web content management system for GAO's public-facing website in a mobile-friendly format to improve user experience and to modernize the site.
- Modernize the agency's Taxonomy software, which is critical for product discovery on GAO's public web site. This effort is intended to improve management and assignment of subject terms and topic areas to GAO products and will support recent modernized technology improvements, like New Blue and the updated web content management system.

For FY 2021, GAO is requesting funds to continue efforts to migrate to cloud-based services, modernize and streamline our technology footprint, and position ourselves for a more predictable operating expense budget. Our request includes funding to continue GAO's shift from owning hardware equipment and assets towards using centralized and cloud solutions that provide services to GAO, shift our computing environment from headquarters to an offsite environment with key services provided in a more secure and efficient model, begin rollout of a new Enterprise Content Management system, replace our aging intranet management tool, replace our Financial Audit System, upgrade our Financial Disclosure solution, and continue to enhance GAO analytics capabilities.

- Begin execution of cloud strategy recommendations associated with the IT Modernization Strategic Assessment
- Continue enhancing cybersecurity controls by expanding the suite of tools protecting and monitoring GAO systems and data in the cloud. Update / expand technical capabilities related to security operations incident response, workflow, and Federal Information Security Management Act (FISMA) compliance
- Continue migration of GAO custom applications away from legacy development platforms and retire associated technology
- Implement an Enterprise Content Management (ECM) solution to replace the legacy document and records management system
- Migrate Data Center Services and Applications to the Cloud

The information technology program is summarized in Table 2 below:

Table 2: Budgetary Resources – Information Technology (dollars in thousands)				
Program	Fiscal Year 2019 Actual	Fiscal Year 2020 Enacted	Fiscal Year 2021 Request	Net Change Fiscal Year 2020/2021
Information technology	\$55,721	\$52,750	\$65,000	23.2%

Building and Security Services

GAO's building and security services program includes funds to support the management of GAO-owned and leased facilities as well as the safety and security of occupants and visitors.

Budget constraints in recent years have necessitated the deferral of reinvestment in certain elements of our building's infrastructure and have prevented us from maximizing efficiencies. The requested increase will allow GAO to move forward with critical headquarters building initiatives that have been deferred over several years.

Facility Management and Services

GAO operates and maintains the two million square foot headquarters building through a commercial facilities management contract, and manages space for GAO's 11 field offices. The headquarters building provides work space for approximately 4,200 combined staff and contractors from GAO, the U.S. Army Corps of Engineers, and several components of the Department of Justice.

Previously, GAO laid the ground work for field office moves in Chicago, Los Angeles and Huntsville, and completed work on a variety of headquarters building maintenance initiatives. In fiscal year 2020, GAO plans to:

- Continue work in the Chicago field office to relocate from commercially-owned to federally-owned space, as well as continue to work on space for the Los Angeles field

office, work is underway to relocate the Huntsville field office to a permanent location, and renovate existing space as necessary in Dallas;

- Realize full rental income in FY 2020 as a result of the fiscal year 2018 headquarters space consolidation buildout and lease of an additional 43,000 square feet of building space, which brings in an additional \$2 million in annual rental revenue; and
- Make critical repairs and/or replacements to end-of-life building systems including heating and air-conditioning infrastructure and major electrical equipment. As identified in its FY 2019 financial statements, GAO has a growing backlog of deferred, but necessary, maintenance at headquarters, which currently totals over \$80 million and is growing. GAO has begun a multi-year effort to reduce the backlog of maintenance to ensure the reliability and safety of the HQ building for staff and tenants.

Security and Emergency Management

The Security and Emergency Management Program is a comprehensive and coordinated agency-wide effort to mitigate risk to our employees and facilities. It encompasses four areas:

- Personnel Security, which ensures that all covered persons meet personnel security standards commensurate with the risk and sensitivity levels of their respective positions and associated duties;
- Information Security, which provides cost-effective protections for information and information systems that support GAO's operations and assets from unauthorized access, use, disclosure, disruption, modification, or destruction;
- Protection Services, which physically safeguards GAO's personnel and property; and
- Emergency Management, which maintains plans and procedures to effectively mitigate, prepare for, respond to, and recover from any threats that may compromise a safe work environment.

In FY 2020, GAO will begin implementing recommendations from the agency-wide security risk assessment that was completed in FY 2018. In FY 2021, GAO plans to complete the electronic security system installations in Chicago and Seattle, and continue upgrading the system at Headquarters. GAO also plans to replace its aging security radio system to ensure effective operations and compatibility with other agencies.

GAO continues to receive an increasing number of statutory mandates and congressional requests that result in engagements that rely heavily on classified and sensitive information. In FY 2020, GAO will continue to evaluate and enhance the resources available to staff who are responsible for conducting these audits. In FY 2020, GAO will begin the construction of several Secure Video Teleconference (S-VTC) rooms at strategically chosen GAO field offices. These S-VTCs will enhance the ability of field and HQ staff to collaborate securely across multiple GAO locations as well as with other federal agencies.

Table 3: Budgetary Resources – Building and Security Services (dollars in thousands)

Program	Fiscal Year 2019 Actual	Fiscal Year 2020 Estimate	Fiscal Year 2021 Request	Net Change Fiscal Year 2020 / 2021
Facilities & Property Management	\$30,996	\$33,870	\$38,500	13.7%
Records and Privacy	127	130	250	92.3%
Security	9,430	9,500	9,750	2.6%
Building and security services	\$40,553	\$43,500	\$48,500	11.5%

Administrative Support Services

The Administrative Services Program includes costs for financial management activities and systems, human capital operations, library services, and miscellaneous support services.

Human Capital Operations

GAO's Human Capital Operations (HCO) program provides administrative support, employee health and wellness programs, recruiting, position classification, job evaluation, and career transition services for individuals nearing retirement or seeking other career opportunities within or outside of GAO. Additionally, HCO manages all GAO employee personnel records that have both a temporary/one-time as well as permanent impact on staff's comprehensive federal employment, salary, and benefits history. An accurate federal employment, salary, and benefits history is crucial for such standard HCO operations like accurate retirement annuity calculations, leave accrual category assignment, and tenure/status timeframes.

For FY 2021 we are requesting a one-time increase for HCO to convert GAO official personnel files (OPF) from paper to electronic format leveraging OPM's e-OPF IT System. OPM requires Executive Branch agency personnel records to be electronically transferred. Continued use of paper records contributes to delays in transmittal and inefficiencies in looking for paper records. Currently, GAO inefficiently prints out copies of files sent electronically from other agencies and scans copies for transmission to OPM when processing retirement actions. GAO's cost of the current records operation includes operations and maintenance of a physical filing mobile shelf system which has reached end of life and requires frequent repairs. Additionally, maintenance of paper records leaves GAO vulnerable to fire, flood or continuity of operations events.

GAO employees are unable to access their official personnel files electronically and have to request an appointment with HCO to view their files and/or get a scanned version of their file from HCO. Implementing OPM's eOPF will mitigate risks associated with paper records, and improve the efficiency of records maintenance and transmittal.

Financial Management Services

In keeping with our effort to continuously improve our operations, we regularly review changes to government accounting standards and update configuration items pertinent to GAO in LBFMS. We plan to implement Treasury's Government Invoicing (G-Invoicing) in conjunction with the LBFMS upgrade scheduled during 2021 which makes the functionality available in the baseline software. G-Invoicing is the long-term sustainable solution to improve the quality of

Intragovernmental Transactions (IGT) data in support of more accurate financial management by federal trading partners. G-Invoicing will address current buy/sell accounting and reporting challenges by providing a common platform for brokering all IGT buy/sell activity, implementing a federal IGT Buy/Sell data standard, and providing transparent access to a common data repository of brokered transactions. Other continued improvement plans include enhancing our system generated management reporting to contribute to timely and informed decision-making.

Library Services

Library Services provides GAO with research products and services, with access to accurate and reliable information, and with proficiency in organizing and preserving information. By purchasing and making information available, GAO ensures that all staff have access to core collections of information in areas of common research, such as accounting, auditing, financial management, economics, business, law, education, healthcare, defense, international affairs, general news, agriculture, energy, environment, science, and technology.

Library Services works in tandem with the Library of Congress, using the FEDLINK program to take advantage of contract pricing negotiated for all federal agencies and using borrowing privileges to access print materials without having to purchase them. Library Services routinely evaluates the continued need for resources, cancelling subscriptions when they are no longer required for engagement work and adding materials as GAO's work changes.

Table 4: Budgetary Resources – Administrative Support Services (dollars in thousands)

Program	Fiscal Year 2019 Actual	Fiscal Year 2020 Enacted	Fiscal Year 2021 Request	Net Change Fiscal Year 2020 / 2021
Human Capital Operations ¹	\$2,258	\$2,700	\$3,650	35.2%
Financial Management	2,628	2,606	2,606	0.0%
Library Services	3,967	4,000	4,250	6.3%
Other Support Services	325	822	850	3.4%
Administrative support services	\$9,178	\$10,128	\$11,356	12.1%

¹ In FY 2019, GAO spent \$23,550 to advertise, post, and accept applications for job openings on USAJobs.gov through an interagency agreement with OPM; and \$8,320 to advertise job openings in several specialty publications distributed by organizations such as Diversity Inc., the American Bar Association, and the American Statistician Association. Similar expenditures are expected to occur in FY 2020 and FY 2021.

Center for Audit Excellence

The Consolidated and Further Continuing Appropriations Act, 2015, enacted in December 2014, authorized the Government Accountability Office (GAO) to establish a Center for Audit Excellence (CAE) to build institutional auditing capacity and promote good governance by providing training and assistance to federal, state, local and other national audit offices around the world.

The Center opened in October 2015 with a core staff of two part-time reemployed annuitants and a roster of more than 80 former GAO Senior Executives and Band III auditors who worked for the Center on an intermittent basis. GAO submitted a business plan to Congress in February 2015 which was approved in mid-2015. The Center was intended to be largely demand-driven, primarily rely on rehired annuitants, recover costs, and undertake both domestic and international projects.

The Center has ***proven its initial concept and demand for the Center's services, domestically and internationally, continues to increase.*** The Center, in its fourth year of operations, has met its goals of:

- expanding services in developing countries;
- establishing strategic partnerships with donor organizations;
- providing online registration for group training, and
- improving internal operations.

Since 2015 the Center has provided training to 45 accountability organizations around the world—many of which have sought repeat services. In FY 2019, the Center collected more than \$800K in fees and provided technical assistance or training to 24 accountability organizations. The Center has reached nearly every region of the world—providing custom training courses, mentorship and coaching, institutional capacity building, and needs assessments.

Moving forward the ***Center seeks to bolster its operations as demand for its services continues to expand, particularly with international organizations.*** Building the capacity of National Audit Organizations across the globe helps produce high-quality auditing functions which can improve oversight of U.S. foreign assistance and hold governments accountable for using public funds efficiently and effectively and deterring and identifying corruption.

For FY 2019 Congress appropriated approximately \$34 billion for foreign assistance, which includes funds for a variety of accounts such as Global Health, Development Assistance, Foreign Military Financing, and Migrations and Refugee Assistance. ***Many of the countries whose national audit offices have the greatest need to improve audit quality are low-income countries that are recipients of U.S. foreign assistance.*** A Global National Audit Office Stocktaking Report published in 2017 noted that “Enhancing audit quality and coverage, particularly implementing the International Standards of Supreme Audit Institutions, is a major long term challenge.”

In FY 2021, ***GAO seeks to use a portion of its appropriation on a small number of full-time staff to support its operations to meet increased demand for services.*** GAO requests

funding to support 5 permanent staff and related expenses to enhance GAO's capability to support Center operations. The Center will continue to operate a fee-based model for projects.

The Center's expansion of services calls for utilizing five permanent staff for core operations/administrative functions, online/web-based technical support staff, instructors to support on-the-ground services, and as well as contract services for interpretation and translation. Increased staffing levels would give GAO the necessary capability to better support the Center's growing mission for international, multi-year projects to enhance national audit office capacity and accountability in countries that receive foreign aid. The Center would retain its core annuitant staff, roster of intermittent instructors, and continue to execute its current multi-year international agreements and domestic projects supporting State and Local audit organizations and federal Inspector General Offices.

Examples of Working with International Organizations

- The Center has signed Memorandums of Understanding (MOU) with the U.S. Agency for International Development (USAID) in April 2016 and the World Bank in March 2019.
- Working with the Millennium Challenge Corporation, the Center also completed an 18-month project in Honduras that produced a high quality audit of port operations and better equipped the national audit office to conduct future performance audits.
- With USAID support, the Center is helping to improve Philippines' national audit office capacity to conduct performance audits via a multi-year \$1.5 million agreement.

Examples of Working with Domestic Organizations

- To date, the Center has provided high quality training to a dozen federal inspectors general as well as nearly a dozen state and local audit organizations and has had numerous repeat customers.
- The Center recently acquired an online registration system and began holding individual enrollment classes to be held at GAO for federal employees and auditors.
- The Center improved performance audit capacity of the Denver City Auditor's Office and strengthened auditor skills at the Massachusetts State Auditor's Office.

Table 1: Budgetary Resources – Center for Audit Excellence (dollars in thousands)

Program	Fiscal Year 2019 Actual	Fiscal Year 2020 Enacted	Fiscal Year 2021 Request	Net Change Fiscal Year 2020 / 2021
Number of full-time equivalents (FTEs)	6	6	12	6
Number of full-time staff	0	0	5	5
Number of intermittent annuitants	18	18	18	0
Number of staff on board at year end	0	0	5	5
Salaries and benefits	\$918	\$940	\$1,660	76.6%
Travel	\$134	\$150	\$150	0%
Online Services and Support	N/A	N/A	500	N/A
Support contracts ^a	\$9	\$10	\$190	1800%
Subtotal	\$1,061	\$1,100	\$2,500	127.3%
Offsetting Collections	\$806	\$1,100	\$1,100	0%
Total	(\$225)	\$0	(\$1,400)	N/A

^a CAE will contract for on-the-ground support services in foreign localities (translation, interpretation, mail/shipping, etc.).

Office of Inspector General

Established as a statutory office by the Government Accountability Office Act of 2008, GAO's Office of Inspector General (OIG) independently conducts audits, evaluations, and other reviews of GAO programs and operations and makes recommendations to promote economy, efficiency, and effectiveness in GAO. OIG also investigates allegations of fraud, waste, and abuse, including the possible violation of law or regulation, within GAO.

The OIG's Strategic Plan for Fiscal Years 2016-2020¹ identifies the vision, goals, objectives, and strategies for its activities, under the authority of the Government Accountability Office Act of 2008, to promote efficiency, effectiveness, and integrity in GAO programs and operations. As discussed in the plan, the OIG supports GAO and Congress by helping to protect GAO programs and operations from fraud, waste, and abuse. Independent and objective audits, evaluations, and investigations are the primary methods for assessing GAO programs and operations and identifying risks to GAO, enhancing its ability to protect and maximize its resources.

The OIG's Semiannual Reports to Congress² describe OIG's work on identifying significant problems, abuses, deficiencies, remedies, and investigative outcomes relating to the administration of GAO programs and operations that were disclosed during the reporting period. OIG's semiannual reports present the results of its work, including product and performance statistics for both audits and investigations. The OIG also provides an overview of each report issued and actions taken or initiated by GAO in response to the report, as of the end of the reporting period. The OIG and GAO management work cooperatively in fulfilling the role of the OIG. Timely resolution of outstanding recommendations continues to be a priority for both OIG and the agency.

Table 1: Budgetary Resources – Office of Inspector General (dollars in thousands)^a

Office of Inspector General	Fiscal Year 2019 Actual	Fiscal Year 2020 Enacted	Fiscal Year 2021 Request	Net Change Fiscal Year 2020 / 2021
Number of full-time equivalents (FTEs)	10	11	11	0
Salaries and benefits	\$1,991	\$2,330	\$2,393	2.7%
Recruitment and retention	\$2	\$2	\$2	N/A
Travel	\$6	\$2	\$2	N/A
Training and development	\$6	\$6	\$6	N/A
CIGIE Membership dues	\$5	\$5	\$5	N/A
Support contracts ^b	\$64	\$30	\$65	116.7%
Total	\$2,074	\$2,375	\$2,438	2.7%

^a A separate appropriation is not requested for the Office of Inspector General as the resources to support OIG are included in GAO's overall budget request.

^b In FY 2019, the OIG contracted for a biennial audit requirement and will use contract funds for the audit again in FY 2021.

¹ OIG's Strategic Plan can be found at: <https://www.gao.gov/assets/680/675036.pdf>.

² OIG's Semiannual Reports can be found at: https://www.gao.gov/about/workforce/ig_semiannual.html.

Fiscal Year 2021 Performance Plan

GAO Supports Congressional Decision- Making, Saves Taxpayer Dollars, and Helps Improve Government

The Government Accountability Office (GAO) is the audit, evaluation, and investigative arm of Congress. Commonly known as the “congressional watchdog,” we examine how taxpayer dollars are spent and advise lawmakers and agency heads on ways to make government work better.

As a legislative branch agency, we are exempt from many laws that apply to executive branch agencies. However, we generally hold ourselves to the spirit of many such laws, including the Federal Managers’ Financial Integrity Act of 1982 (FMFIA); the GPRM Modernization Act of 2010 (GPRAMA); and the Federal Information Security Modernization Act of 2014 (FISMA). This section of GAO’s fiscal year 2020 budget request constitutes our performance plan.

We are unique in our audit and evaluation capacity to support Congress by performing original research, providing technical assistance, and conducting analyses to help Congress make informed decisions across the federal budget, producing tangible results and enhanced oversight. Our work directly contributes to improvements in a broad array of federal programs affecting Americans everywhere.

We demonstrate our core values of accountability, integrity, and reliability by providing high-quality, high-value, and independent support to Congress in ways that generate material benefits to the nation. Given our reputation for consistently producing high-quality work that is typically based on original research, it is not surprising that congressional demand for our products and services remains strong. During fiscal year 2019, we received requests for work from 90 percent of the standing committees of Congress and about 26 percent of their subcommittees.

GAO continues to be one of the best investments in the federal government. In fiscal year 2019, our work brought a record \$214.7 billion in financial benefits for the federal government (a return of about \$338 for every dollar invested in GAO) and 1,418 in other benefits that cannot be measured in dollars, but led to program and operational improvements across the government. More than 77 percent of our recommendations were implemented over a 4-year period. Additional information on our performance and accomplishments can be found in our Performance and Accountability Report for Fiscal Year 2019.¹

In addition, our experts testified 97 times before 50 separate committees or subcommittees on topics including the nation’s fiscal health, our High Risk areas, government efficiency and effectiveness, military readiness, and the 2020 Census.

A list of selected testimony from fiscal year 2019 is included in table 1.

¹ <https://www.gao.gov/products/GAO-20-1SP>

Table 1. Selected GAO Fiscal Year 2019 Testimony Topics

Goal 1: Address Current and Emerging Challenges to the Well-Being and Financial Security of the American People	
<ul style="list-style-type: none"> Protecting Privacy and Ensuring the Accuracy of Face Recognition Technology Re-evaluating the Nation's Retirement System Improving FEMA's Disaster Assistance for Older and Disabled Individuals Assessing the Effect of School Closures on Veterans Receiving Post 9/11 GI Bill Addressing Implementation Challenges for the Veterans Community Care Program Enhancing Federal Oversight of Consumer Internet Privacy Improving the Small Business Administration's (SBA) Contracting Programs 	<ul style="list-style-type: none"> Providing Veterans with Timely Access to Health Care Improving the Appointment Process for EPA Advisory Committees Implementing Positive Train Control will Require Deadline Extensions for Most Railroads Reducing Federal Financial Liability for Extreme Weather and Climate Events Assessing Federal Data on Restraint and Seclusion of Students in Public K-12 Educational Settings Strengthening Oversight of Consumer Reporting Agencies' Protection of Consumer Data Financing Needs for the Black Lung Benefits Program Improving the Public Service Loan Forgiveness Program
Goal 2: Respond to Changing Security Threats and the Challenges of Global Interdependence	
<ul style="list-style-type: none"> Identifying and Reunifying Children Separated from their Parents at the Border Rebuilding Air Force Readiness Accelerating Space Programs and Addressing Threats Pose Significant Challenges for DOD Observations on Confucius Institutes in the United States and U.S. Universities in China Addressing CBP's Challenges with Recruiting, Hiring, and Retaining Law Enforcement Personnel 	<ul style="list-style-type: none"> Reducing Risks to Army Modernization Efforts Improving FEMA's Emergency Management to Address Challenges and Future Risks Rebuilding Army Readiness Strengthening DHS Management Observations on F-35 and Air Force's Advanced Battle Management System Rebuilding Navy and Marine Readiness
Goal 3: Help Transform the Federal Government to Address National Challenges	
<ul style="list-style-type: none"> Improving and Sustaining the Nation's Fiscal Health Implementing Strategies to Reduce the Tax Gap Addressing VA's IT Management Challenges Considering the Proposed Reorganization of OPM Strengthening Federal Agencies' IT Acquisitions, Operations, and Cybersecurity Efforts Mitigating Key Risks for the 2020 Census Addressing FEMA's Challenges With Contracts used to Support Disaster Response and Recovery Using Acquisition Best Practices for IT to Improve Implementation of VA's Family Caregiver Program Preliminary Observations on Sexual Harassment in STEM Research 	<ul style="list-style-type: none"> Identifying and Reporting the Cost of VA's Electronic Health Care Records System Improving the Sustainability of Chemical Technologies Reducing Fragmentation, Overlap, and Duplication in Federal Programs Ensuring SBA's Export Promotion Grant Program Better Complies with Law and Helps States Fully Use Funds Inventorying Government-Wide Accounts with Spending Authority and Permanent Appropriations (Fiscal Years 1995-2015) Addressing VA's High-Risk Issues Will Require Sustained Leadership Improving Federal Recruiting and Hiring Efforts

Source: GAO-20-1SP | GAO-20-334SP

GAO Services Integral to Congressional Priorities

GAO's continued high performance is evidence of the critical role it plays in helping Congress and the American people better understand important issues. We issue hundreds of products annually in response to congressional requests and mandates that cover all aspects of the federal government's operations, including health care at the Department of Veterans Affairs (VA), defense acquisitions, border security, cybersecurity, and the Patient Protection and Affordable Care Act.

In May 2019, we issued our ninth annual report to the Congress on federal programs, agencies, offices, and initiatives that have duplicative goals or activities, as well as opportunities to achieve greater efficiency and effectiveness that result in cost savings or enhanced revenue collection. ([GAO-19-285SP](#)).

Our 2019 report identified 98 new actions in 28 new areas (and 11 existing areas) that could reduce fragmentation, overlap, and duplication, or provide other cost savings and revenue enhancement opportunities across the federal government.

Significant progress has been made in addressing many of the 805 actions that we identified from 2011 to 2018 to reduce costs, increase revenues, and improve agency operations. As of March 2019, the Congress and executive branch agencies had fully addressed 436 (54 percent) and partially addressed 185 actions (23 percent) of these 805 actions—yielding about \$216 billion in financial benefits between 2010 and 2018, with \$46 billion more projected in the future.

This work has also led to key other (non-financial) benefits, including (1) identifying and addressing skills gaps in mission critical occupations at the IRS, and (2) providing active duty service members, veterans, and

their families with better care from improved management of DOD and VA health care programs.

Policymakers and the public can track the status of congressional and executive branch efforts to address the issues we have previously identified on GAO's Action Tracker, located on our website under the "Duplication and Cost Savings" collection, <https://www.gao.gov/duplication/action-tracker/all-areas>.

GAO's High Risk Program

At the start of each new Congress, we issue a biennial update of our High Risk Report. This report focuses attention on government operations that are at high risk of fraud, waste, abuse, and mismanagement or need transformative change. Our 2019 edition offered solutions to 35 high risk programs with the potential to save billions of dollars, improve service to the public, and strengthen the performance and accountability of the U.S. government. We will issue our next update in early 2021.

Our 2019 high-risk work produced 163 reports, 44 testimonies, \$170.8 billion in financial benefits, and 710 in other benefits.

Two areas made significant progress and we removed them from our High Risk List:

- **DOD Supply Chain Management**, based on DOD's progress on seven actions. Specifically, improvements in asset visibility and materiel distribution eliminated \$82 million in costs within the supply chain through fiscal year 2019—better ensuring that war fighters receive the supplies they need, when they need them.
- **Mitigating Gaps in Weather Satellite Data**, based on NOAA's launch of a new satellite in 2017 that provides advanced weather data and forecasts and planned actions by DOD.

We also added two areas to the High Risk List since our 2017 update. In 2018, we added the Personnel Security Clearance Process, before our biennial update, because it faced significant challenges with (1) processing clearances in a timely manner, (2) measuring investigation quality, and (3) ensuring IT security. In 2019, we added VA Acquisition Management, given our finding that it faced seven contracting challenges—including outdated acquisition regulations and policies.

Our experience for more than 27 years has shown that the key elements needed to make progress in high risk areas are (1) congressional action, (2) high-level administration initiatives, and/or (3) agency efforts targeted to address the risk.

A complete list of these areas is shown in table 2 and details can be found at <https://www.gao.gov/highrisk/overview>.

Table 2. GAO's High Risk List as of September 2019

High Risk Area	Year Designated
Strengthening the Foundation for Efficiency and Effectiveness	
▪ Improving Federal Programs that Serve Tribes and Their Members	2017
▪ 2020 Decennial Census	2017
▪ U.S. Government Environmental Liabilities	2017
▪ Improving the Management of IT Acquisitions and Operations	2015
▪ Limiting the Federal Government's Fiscal Exposure by Better Managing Climate Change Risks	2013
▪ Management of Federal Oil and Gas Resources	2011
▪ Modernizing the U.S. Financial Regulatory System	2009
▪ Resolving the Federal Role in Housing Finance	2009
▪ USPS Financial Viability	2009
▪ Funding the Nation's Surface Transportation System	2007
▪ Managing Federal Real Property	2003
▪ Strategic Human Capital Management	2001
Transforming DOD Program Management	
▪ DOD Approach to Business Transformation	2005
▪ DOD Support Infrastructure Management	1997
▪ DOD Business Systems Modernization	1995
▪ DOD Financial Management	1995
▪ DOD Weapon Systems Acquisitions	1990
Ensuring Public Safety and Security	
▪ Government-wide Personnel Security Clearance Process	2018
▪ Protecting Public Health through Enhanced Oversight of Medical Products	2009
▪ Transforming EPA's Processes for Assessing and Controlling Toxic Chemicals	2009
▪ Ensuring the Effective Protection of Technologies Critical to U.S. Security Interests	2007
▪ Improving Federal Oversight of Food Safety	2007
▪ Strengthening Department of Homeland Security Management Functions	2003
▪ Ensuring the Cybersecurity of the Nation	1997

Table 2. GAO's High Risk List as of September 2019

High Risk Area	Year Designated
Managing Federal Contracting More Effectively	
▪ VA Acquisition Management (new)	2019
▪ DOD Contract Management	1992
▪ DOE's Contract Management for the National Nuclear Security Administration and the Office of Environmental Management	1990
▪ NASA Acquisition Management	1990
Assessing the Efficiency and Effectiveness of Tax Law Administration	
▪ Enforcement of Tax Laws	1990
Modernizing and Safeguarding Insurance and Benefit Programs	
▪ Managing Risks and Improving VA Health Care	2015
▪ National Flood Insurance Program	2006
▪ Improving and Modernizing Federal Disability Programs	2003
▪ Pension Benefit Guaranty Corporation Insurance Programs	2003
▪ Strengthening Medicaid Program Integrity	2003
▪ Medicare Program and Improper Payments	1990

Source: GAO-20-1SP | GAO 20-334SP

GAO Seeks to Increase Staff Capacity and Address Outdated IT Systems and Building Infrastructure

A talented, diverse, high-performing, and knowledgeable workforce is essential to fulfilling our mission to support Congress. As a knowledge-based organization, we must attract and retain the top talent in an increasingly competitive job market.

Through recruiting efforts and our intern program, we filled entry-level positions and addressed skill gaps by bringing on 352 new staff in fiscal year 2019. We used 3,161 full-time equivalent staff (FTE) in fiscal year 2019. In fiscal year 2020 and beyond, recruitment efforts will continue to focus on building entry-level capacity, addressing senior-level succession planning challenges, and continuing to bolster our intern program.

Our fiscal year 2021 budget request of \$742.5 million will enable us to address mandatory inflationary costs and pay-related increases, make investments in information technology (IT) and building infrastructure, and make critical additions to our staff capacity. We expect to offset our costs by \$36.3 million in receipts and reimbursements, primarily from program/financial audits and rental income.

Our talented workforce is our most valued asset in meeting our mission requirements. Our fiscal year 2021 request will allow us to increase our FTE level to our optimal staffing level of 3,250 FTEs. The funding requested will also support priority investments in our information technology (IT) and building infrastructure, security requirements, as well as address long deferred needs.

GAO's IT infrastructure serves as the backbone/foundation upon which all its work is produced. As such, this vital function must constantly be updated and improved.

In early fiscal year 2020, GAO rolled out a new updated virtual desktop infrastructure that greatly enables GAO's staff to perform its duties in a secure and robust environment.

Additional priorities for this fiscal year include the requirements development for a new Talent Management System to replace its over 30 year old training system and its competency based performance system. The new system will vastly improve the experience of our employees and at the same time improve the agency's efficiency by eliminating custom code and using commercial, off-the-shelf software. In fiscal year 2021, GAO will build off these requirements analyses to procure these important new systems that will truly modernize the agency's fundamental tools and establish a solid foundation for the coming years.

In addition to continued IT modernization efforts, GAO will begin addressing deferred maintenance at its headquarters building in fiscal years 2020 and 2021. This includes heating and air conditioning infrastructure and major electrical equipment that are original to our building and past their useful lives. These infrastructure modernization efforts will not only replace outdated systems, but also promise to increase

efficiency and reduce operating costs going forward.

In addition to headquarters building improvements, GAO is scheduled to complete staff relocations in Los Angeles and Chicago from commercial buildings by fiscal year 2021. Since owning property can provide access to the buildings and building systems, foreign ownership of government-leased space can pose security risks that GAO cannot afford to take. GAO is requesting funding related to these office moves to ensure we have funding needed for fixed costs related to moves and other expenses related to the office transitions.

Recent field office relocations and space consolidation efforts in the field at our headquarters building, combined with an agency-wide telework program, have saved GAO millions of dollars annually. These savings have been critical to preserving staff capacity—GAO's most important asset. As a significant proportion of our employees become retirement eligible, including almost 40 percent of senior executive staff and 23 percent of supervisory analysts, it will become increasingly important for GAO to both backfill critical leadership positions and maintain staff capacity.

A summary of our funding sources is shown in table 3.

Table 3: Fiscal Year 2019 – 2021 Summary of GAO Budget Authority (dollars in thousands)

Funding Source	Fiscal Year 2019 Actual		Fiscal Year 2020 Enacted		Fiscal Year 2021 Request	
	FTE	Amount	FTE	Amount	FTE	Amount
Salaries and Expenses Appropriation	3,161	\$589,638	3,200	\$630,000	3,250	\$706,142
Offsetting receipts ^a		18,461		23,700		30,242
Center for Audit Excellence ^b		806		1,100		1,100
Reimbursements and supplemental funds ^c		28,121		23,521		4,979
Total Offsets		47,388		\$48,321		36,321
Total budget authority	3,161	\$637,026	3,200	\$678,321	3,250	\$742,463

Source: GAO. | GAO-20-334SP

^a Includes receipts available primarily from the U.S. Army Corps of Engineers and the Department of Justice for rental of space in the GAO headquarters building; and reimbursement of GAO's costs incurred in conducting financial audits of the Federal Deposit Insurance Corporation, Internal Revenue Service, Schedule of Federal Debt, and Securities and Exchange Commission (SEC).

^b Includes reimbursement of GAO's costs incurred by the Center for Audit Excellence to build institutional auditing capacity and promote good governance by providing training and assistance to qualified personnel and entities.

^c Includes reimbursements of GAO's costs incurred in conducting mandated program and financial audits of the Federal Housing Finance Agency, Consumer Financial Protection Bureau, SEC, Troubled Asset Relief Program; operation of the Federal Accounting Standards Advisory Board; collection of bid protest system user fees; supplemental funds for disaster audits; and for FY 2019, carryover of fiscal year 2018 two-year funds.

Good Accounting Obligation in Government Act Reporting

There are three recommendations from GAO's Office of the Inspector General (OIG) that have been open for more than one year, all related to OIG's July 17, 2018, report on GAO's information security and practices. The recommendations will be implemented in FY 2020.

Recommendation

Document and implement a process to evaluate current and future enterprise IT investment portfolio assets, including risks, and ensure alignment with GAO's IT Strategy.

Status

GAO has updated its Enterprise Risk Management Program Plan as well as the IT Strategic Investment Planning (ISIP) Tracking Mechanism (Excel Workbook) to include risk assessments for on-going and planned initiatives. The risk assessments will be completed in February 2020.

Recommendation

Document plans, policies, and procedures for identifying, prioritizing, and mitigating operational risk related to establishing full failover capabilities at the Alternate Computing Facility (ACF) in the event of a disaster and preparing for end-of-support upgrades for Windows 7.

Status

GAO continues to actively work on contingency efforts as part of a larger effort

to modernize our infrastructure, which includes the continued deployment of the agency's virtual desktop infrastructure (VDI) 2.0 upgrade and the migration from the Windows 7 to the Windows 10 operating system, including transitioning the primary data center from the GAO HQ. The Windows 7 migration will be completed in February 2020, and the full failover capability in September 2020.

Recommendation

Document and implement a process to identify and track hardware and software interdependencies for GAO's system inventory including vendor support data, such a send-of-life or end-of-support dates.

Status

GAO has developed a hardware and software inventory and has established a process for tracking technology to include End-Of-Life or End-Of-Support technology. As such, GAO will be reviewing updated and potentially new artifacts and evidence with stakeholders and will then deliver the results to the OIG in February 2020.

***The Strategic Plan
Illustrates the Wide Array of
Issues That GAO Covers***

GAO's strategic plan for fiscal years 2018-2023² reflects the wide array of national and international issues that we cover in our mission to support Congress. Our strategic plan is based on a four-tiered hierarchy—four strategic goals (the highest tier),

followed by strategic objectives, performance goals, and key efforts.

Each strategic goal is comprised of strategic objectives, for which there are specific strategies taking the form of performance goals (each of which has a set of key efforts).

GAO conducts specific engagements as a result of requests from congressional committees and mandates written into legislation, resolutions, and committee reports. In fiscal year 2019, 96 percent of our engagement resources were devoted to work requested or mandated by Congress. The remaining 4 percent of engagement resources were devoted to work initiated under the Comptroller General's authority. Much of the work initiated under the Comptroller General's authority addressed various challenges that are of broad-based interest to Congress.

GAO's work helps support congressional decision-making. Our review of agencies' budget requests and government programs and operations identifies programs that are at high risk for fraud, waste, abuse, and mismanagement.

To fulfill our mission, we organize and manage our resources to support four broad strategic goals. Our audit, evaluation, and investigative work is primarily aligned under the first three strategic goals; our internal management work is under the fourth. (See fig. 1, following the list of goals, which depicts GAO's strategic planning hierarchy.)

The list of our four strategic goals and the related strategic objectives follows:

² The complete set of GAO's strategic planning and performance and accountability reports is available online: <http://www.gao.gov/sp.html>.

Goal 1: *Address Current and Emerging Challenges to the Well-Being and Financial Security of the American People*

- Financing and Programs to Serve the Health Needs of an Aging and Diverse Population
- Lifelong Learning to Enhance U.S. Competitiveness
- Benefits and Protections for Workers, Families, and Children
- Supporting the Financial Security and Well-Being of an Aging Population
- A Responsive, Fair, and Effective System of Justice
- Housing Finance and Viable Communities
- A Stable Financial System and Sufficient Consumer Protection
- Responsible Stewardship of Natural Resources and the Environment
- A Viable, Safe, Secure, and Accessible National Physical Infrastructure

Goal 2: *Respond to Changing Security Threats and the Challenges of Global Interdependence*

- Protect and Save the Homeland from Threats and Disasters
- Effectively and Efficiently Utilize Resources for Military Capabilities and Readiness
- Advance and Protect U.S. Foreign Policy Interests and International Economic Interests

Goal 3: *Help Transform the Federal Government to Address National Challenges*

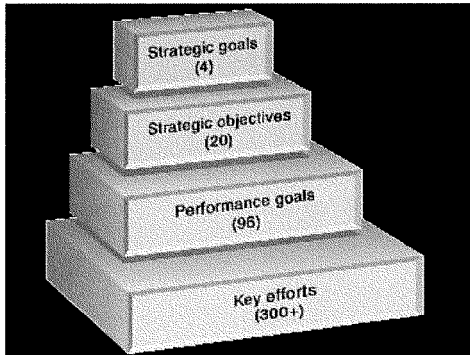
- Analyze the Government's Fiscal Condition and Opportunities to Strengthen Approaches to Address the Current and Projected Fiscal Gaps
- Support Government Accountability by Identifying Fraud, Waste, and Abuse, and Needed Improvements in Internal Controls
- Support Congressional Oversight of Cross-Cutting Issues and Major Management Challenges and Program Risks
- Establish and Maintain Government Auditing Standards and Standards for Internal Control in the Federal Government

Goal 4: *Maximize the Value of GAO by Enabling Quality, Timely Service to Congress, and Being a Leading Practices Federal Agency*

- Improve Efficiency and Effectiveness in Performing GAO's Mission and Delivering Quality Products and Services to Congress and the American People
- Maintain and Enhance a Diverse Workforce and Inclusive Work Environment through Strategically Targeted Recruiting, Hiring, Development, Reward, and Retention Programs
- Expand Networks, Collaborations, and Partnerships That Promote Professional Standards and Enhance GAO's Knowledge, Agility, and Response Time
- Be a Responsible Steward of GAO's Human, Information, Fiscal, Technological, and Physical Resources

Figure 1: GAO's Strategic Planning Hierarchy

Each strategic goal is composed of strategic objectives, for which there are specific strategies (performance goals). Each performance goal has a set of key efforts.



Example:

Strategic Goal 1: Address Current and Emerging Challenges to the Well-Being and Financial Security of the American People

Strategic Objective: A Responsive, Fair, and Effective System of Justice

Performance Goal: Assess federal efforts to prevent, deter, investigate, and prosecute terrorism, violent crime, and cyber crime

Key Efforts:

- Assess the Department of Justice's (DOJ) efforts to address terrorism
- Assess DOJ's efforts to assist communities with addressing violent crime
- Assess the effectiveness of federal efforts to control the supply of and demand for illicit drugs
- Assess DOJ's efforts to combat emerging crimes

Source: GAO-20-1SP | GAO-20-334SP

To track progress on our performance goals, we collect data on results, client

engagement, human capital, and internal operations (see table 4).

Table 4: GAO Agency-Wide Summary of Annual Measures and Targets, 2016-2021

Performance measure	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2020 Target	2021 Target
Results						
Financial benefits (<i>dollars in billions</i>)	\$63.4	\$73.9	\$75.1	\$214.7	\$50.0	\$50.0
Other benefits	1,234	1,280	1,294	1,418	1,200	1,200
Past recommendations implemented ^a	73%	76%	77%	77%	80%	80%
New products with recommendations ^a	68%	63%	64%	64%	60%	60%
Client						
Testimonies ^b	119	99	98	97	120	120
Timeliness	94%	96%	97%	95%	90%	90%
People						
New hire rate	81%	83%	85%	89%	80%	80%
Retention rate						
With retirements	93%	94%	94%	94%	92%	92%
Without retirements	96%	97%	97%	96%	96%	96%
Staff development	83%	84%	83%	85%	80%	80%
Staff utilization	79%	80%	78%	78%	76%	76%
Effective leadership by supervisors	85%	84%	85%	84%	82%	82%
Organizational climate	81%	83%	81%	81%	76%	76%
Internal operations^{c,d}						
Help to get job done	N/A	84%	85%	82%	80%	80%
Quality of work life	N/A	82%	82%	82%	80%	80%
IT tools ^d	N/A	74%	73%	56%	80%	80%

Source: GAO-20-1SP | GAO-20-334SP

^a In 2015, we modified our methodology for past recommendations implemented and new products with recommendations to exclude Matters for Congressional Consideration.

^b In 2016, we modified our methodology for counting testimonies to include hearings where two separate statements are delivered on different aspects of GAO's work

^c The targets for all three categories in 2016 were 80 percent.

^d We conducted the survey for these measures on a calendar year basis in 2016, and, therefore, do not have fiscal year-end results to report—denoted by N/A. For fiscal years 2017-2019, the survey was conducted on a fiscal year basis.

Budgetary Resources by Goal

Table 5 provides an overview of how our human capital and budgetary resources are allocated among the strategic goals for fiscal years 2018–2021.

Table 5: GAO Strategic Goal Resource Allocation, Fiscal Years 2018-2021 (dollars in millions)								
Strategic Goal	Fiscal Year 2018 Actual		Fiscal Year 2019 Actual		Fiscal Year 2020 Estimated		Fiscal Year 2021 Request	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Goal 1 Address current and emerging challenges to the well-being and financial security of the American people	1,145	\$225	1,161	\$224	1,176	\$241	1,194	\$270
Goal 2 Respond to changing security threats and the challenges of global interdependence	811	152	910	171	922	184	936	207
Goal 3 Help transform the federal government to address national challenges	756	174	776	169	785	177	798	187
Goal 4 Maximize the value of GAO by enabling quality, timely service to Congress and being a leading practices federal agency	63	15	70	14	71	15	72	17
Direct congressional support^a	240	38	243	60	246	62	250	61
Total budgetary resources	3,015	\$604	3,161	\$637	3,200	\$678	3,250	\$742

Source: GAO. | GAO-20-334SP

^a In fiscal year 2012, a new cost category was added to the budget request to present resources that directly support Congress and that represent GAO's fulfillment of its statutory responsibilities that were not engagement specific. Examples of this work include General Counsel statutory procurement activities, follow-up on the status of GAO recommendations, and the Federal Accounting Standards Advisory Board activities. Previously, this work was not separately disclosed but instead was allocated to the other cost categories.

Performance Plans by Strategic Goal

The following sections provide more detailed information on our performance results, strategic objectives, and plans for each of the four strategic goals. These objectives, along with the performance goals and key efforts that support them, are discussed fully in our strategic plan: <http://www.gao.gov/about/stratplanning.html>

For Goals 1, 2, and 3—the external goals—GAO presents performance results for the three annual measures assessed at the goal level.

Goal 1

GAO's first strategic goal upholds our mission to support Congress in carrying out its constitutional responsibilities by focusing

on work that helps address the current and emerging challenges affecting the well-being and financial security of the American people.

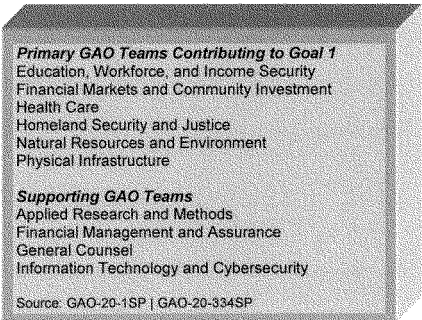


Table 6 presents selected benefits attributable to Goal 1 in fiscal year 2019.

Table 6: Selected GAO Goal 1 Benefits in Fiscal Year 2019	
Financial benefits	<ul style="list-style-type: none"> Prompted the Department of Health and Human Services (HHS) to revise its Budget Neutrality Policy and spending limits for Medicaid demonstration projects (\$26.7 billion) Identified ways to better estimate government costs of federal student loans in Income-Driven Repayment plans (\$24.2 billion) Helped the Department of Housing and Urban Development (HUD) lower its losses on foreclosed properties (\$797.7 million)
Other benefits	<ul style="list-style-type: none"> Contributed to congressional action establishing grant program for schools to test for and remediate lead in drinking water Prompted Congress to improve school stability for children in foster care by requiring education agencies to provide and fund transportation to keep them in their original school Prompted the Securities and Exchange Commission (SEC) to implement a training plan which will help the agency recruit, develop and retain specialists Contributed to improving safety and security plans at Job Corps centers
Testimonies	<ul style="list-style-type: none"> Assessing fiscal challenges facing the nation's retirement system and how retirement is financed Reviewing federal data and resources on restraint and seclusion used in K-12 public schools Changing the legal framework to address gaps in consumer privacy Reducing federal financial liability for extreme weather and climate events

Source: GAO-20-1SP | GAO-20-334SP

A summary of GAO's Goal 1 performance results and targets is shown in table.7.

Table 7: GAO's Strategic Goal 1's Annual Performance Results, 2016-19, and Targets, 2020-2021 (dollars in billions)						
Performance measures	2016 Actual^a	2017 Actual	2018 Actual^a	2019 Actual	2020 Target	2021 Target
Financial benefits	\$19.6	\$22.4	\$52.5	\$60.6	\$28.5	\$28.5
Program and operational benefits	284	263	262	245	235	235
Testimonies	38	48	42	43	47	47

Source: GAO-20-1SP | GAO-20-334SP

^a We received some unexpectedly large financial benefits in fiscal years 2015 and 2017. We did expect this level of results in fiscal year 2018.

^b Our fiscal year 2018 targets for two of our three performance measures differ from those we reported in our fiscal year 2018 performance plan in July 2017. Specifically, we increased our other benefits target from 241 to 246 and decreased the testimony target from 54 to 48.

Table 8 provides examples of work that GAO plans to conduct during fiscal years 2020 and 2021 under Goal 1.

Table 8: Examples of GAO's Planned Work under Goal 1 for Fiscal Years 2020 and 2021

Financial Security

- Examine trends in debt held by older Americans
- Assessing digital innovations in the financial system, including the commercial use of facial recognition technology and potential implications of cryptocurrency and distributed ledger technology for payments, supervision, regulation and financial stability

Social Programs

- Evaluate federal support for disaster preparedness and recovery in K-12 schools
- Examine how the Indian Health Service addresses poor performance and misconduct of health care providers
- Review federal efforts to assist homeless veterans and other vulnerable populations
- Examine Farm Program Payments for Crop Insurance, Commodities, Conservation, Disaster Relief and Trade Aid

Effective Systems

- Review federal investments and technology in aviation, specifically NEXTGEN and unmanned aircraft systems
- Assess federal oversight of surface transportation safety, including Positive Train Control and pipelines
- Assess federal efforts to help ensure the safety of drugs manufactured in other countries, including efforts to inspect foreign drug manufacturing establishments

Source: GAO-20-1SP | GAO-20-334SP

Goal 2

Our second strategic goal focuses on helping Congress and the federal government in *responding to changing security threats and the challenges of global interdependence*. The federal government is working to promote foreign policy goals, sound trade policies, and other strategies to advance the interests of the United States and our allies. The federal government is also working to balance national security demands overseas and at home with an evolving national security environment.

Table 9 presents selected Goal 2 benefits in fiscal year 2019.

Primary GAO Teams Contributing to Goal 2

Contracting and National Security Acquisitions

Defense Capabilities and Management

Homeland Security and Justice

International Affairs and Trade

Supporting GAO Teams

Applied Research and Methods

Financial Management and Assurance

Financial Markets and Community Investment

General Counsel

Information Technology and Cybersecurity

Natural Resources and Environment

Source: GAO-20-1SP | GAO-20-334SP

Table 9: Selected GAO Goal 2 Benefits in Fiscal Year 2019

Financial benefits	<ul style="list-style-type: none">Contributed to a significant reduction in costs in the Department of Defense's (DOD's) procurement costs for weapon systems acquisitions (\$136.1 billion)Contributed to Congress's reduction in several State Department budget accounts (\$1.5 billion)Identified reductions to DOD's operation and maintenance budget due to excess balances (\$1.1 billion)
Other benefits	<ul style="list-style-type: none">Contributed to actions taken by DOD to strengthen oversight and address underlying problems within the Global Positioning System Next Generation Operational Control System ProgramInfluenced the U.S. Coast Guard to strengthen oversight and better articulate and mitigate schedule and design risks of the Polar Security ProgramPrompted a change in the Federal Acquisition Regulations to more completely define recruiting feesIdentified long-term emerging threats against the United States
Testimonies	<ul style="list-style-type: none">Examining the progress and challenges in the Armed Forces personnel, training, and equipment readinessProviding preliminary observations of the 2019 National Drug Control StrategyExamining efforts to identify and reunite children separated from their parents at the border

Source: GAO-20-1SP | GAO-20-334SP

A summary of GAO's Goal 2 performance results and targets is shown in table.10.

Table 10: GAO's Strategic Goal 2's Annual Performance Results, 2016-19, and Targets, 2020-2021 (dollars in billions)						
Performance measures	2016 Actual	2017 Actual ^a	2018 Actual ^b	2019 Actual	2020 Target	2021 Target
Financial benefits	\$13.0	\$46.5	\$10.5	\$147.4	\$12.0	\$12.0
Program and operational benefits	502	500	517	682	362	362
Testimonies	43	21	26	29	28	28

Source: GAO-20-1SP | GAO-20-334SP

^a In fiscal year 2017, we achieved one unexpectedly large financial benefit. We did not expect this level of results in fiscal year 2018.

^b Our fiscal year 2018 targets for two of our three performance measures differ from those we reported in our fiscal year 2018 performance plan in July 2017. Specifically, we increased the other benefits target from 334 to 345 and decreased the testimonies target from 32 to 31.

Table 11 provides an example of work GAO plans to conduct during fiscal years 2020 and 2021 under Goal 2.

Table 11: Examples of GAO's Planned Work under Goal 2 for Fiscal Years 2020 and 2021
Defense Acquisitions <ul style="list-style-type: none">Assess how well military depots are executing planned work to repair major weapon systemsExamine the Army's near- and long-term weapon system modernization effortsAssess the Army's modernization efforts, including new ground combat vehicles and broader efforts to use non-traditional acquisition approaches
Foreign Operations <ul style="list-style-type: none">Evaluate U.S. Efforts in Mexico under the Merida Initiative, a security and rule-of-law partnership to address drug trafficking and crime, to combat transnational crime and its consequencesExamine the impact of Confucius Institutes in the United States and U.S. Universities in ChinaEvaluate the DHS implementation of U.S. Immigration Laws in the Commonwealth of the Northern Mariana Islands
Other Global Threats <ul style="list-style-type: none">Examine the U.S. government's efforts to develop hypersonic weapon capabilities and the actions being taken to mitigate any risks these efforts faceAssess DOD's cyber posture for weapons in development and the cybersecurity preparedness of the agency's weapons contractorsAssess federal efforts to detect and prevent money laundering and terrorist financing, including in trade and real estate markets

Source: GAO-20-1SP | GAO-20-334SP

Goal 3

Our third strategic goal is to *help transform the federal government to address national challenges* by focusing on the collaborative and integrated elements needed for the federal government to achieve results. Work under this goal includes assessing the government’s fiscal position and options for closing the gap, as well as identifying management challenges; program risks; and fraud, waste, and abuse.

Table 12 presents selected benefits attributable to Goal 3 in fiscal year 2019.

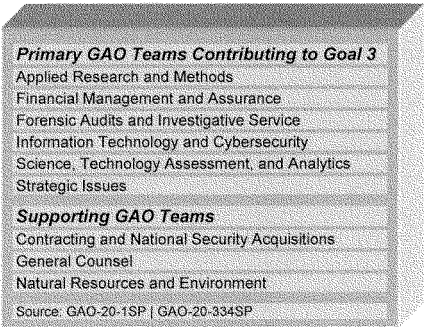


Table 12: Selected GAO Goal 3 Benefits in Fiscal Year 2019

Financial benefits	<ul style="list-style-type: none">Helped prevent IRS from Issuing invalid tax refunds (\$900.2 million)Prompted the Centers for Medicare & Medicaid Services (CMS) to make changes to its Fraud Prevention System (\$471 million)Recommended changes to the Census Bureau’s Key Decennial Program (\$354 million)
Other benefits	<ul style="list-style-type: none">Influenced NASA’s decision to no longer dual-hat individuals to manage technical and safety aspects within Exploration Systems Development while also serving as independent oversight of those same areasPrompted the VA to improve its oversight of acquisitions through the hiring of a permanent Chief Acquisition Officer and clarifying outdated and incomplete policiesImproved Department of Homeland Security efforts to identify and address bio-forensics capability gapsStrengthened initiatives to help transfer technologies developed with federal research funding to the private sector for commercialization
Testimonies	<ul style="list-style-type: none">Reducing risks in the Coast Guard’s multi-billion dollar heavy polar icebreaker acquisition programImproving the accuracy of the 2020 Census by addressing key risks in the enumeration processImproving federal agencies acquisition, operations, and cybersecurity effortsImproving the VA’s support of veterans by addressing critical IT management challenges

Source: GAO-20-1SP | GAO-20-334SP

A summary of GAO's Goal 3 performance results and targets is shown in table 13.

Table 13: GAO's Strategic Goal 3's Annual Performance Results, 2016-19, and Targets, 2020-2021 (dollars in billions)						
Performance measures	2016 Actual	2017 Actual	2018 Actual	2019 Actual ^a	2020 Target	2021 Target
Financial benefits ^a	\$30.8	\$5.0	\$12.1	\$6.7	\$3.2	\$3.2
Program and operational benefits	448	517	515	491	398	398
Testimonies	37	29	28	23	24	24

Source: GAO-20-1SP | GAO-20-334SP

^a Financial benefits for Goals 1 through 3 do not sum to the total agency-wide target for 2019 as we have left a portion of the financial benefits target unassigned. Experience leads us to believe that we can meet the agency-wide target but we cannot always accurately predict under which goals. ^b Our fiscal year 2019 targets for two of our three performance measures differ from those we reported in our fiscal year 2019 performance plan in May 2018, based on revised estimates from mission teams. Specifically, we increased other benefits from 410 to 411 and testimonies from 23 to 25.

Table 14 provides an example of work that GAO plans to conduct during fiscal years 2020 and 2021 under Goal 3.

Table 14: Examples of GAO's Planned Work under Goal 3
Management Challenges/Risks <ul style="list-style-type: none">Identify key practices leading companies use to manage their contracting organizations and the extent to which these practices can be adopted by the federal governmentAssess the costs, schedule, and technical performance of NASA's efforts in developing systems to extend human space exploration beyond low-Earth orbit and return to the moonMonitor and report on high-risk federal programs and operations that are vulnerable to fraud, waste, abuse, and mismanagement or are most in need of broad reform
Accountability <ul style="list-style-type: none">Report on the extent and nature of fraud in the U.S. federal government, and assess fraud risk management activities related to Department of Defense and Department of Energy contracting practicesEvaluate agencies' effectiveness in carrying out major system acquisitions, integration, and operationsEvaluate federal agencies' implementation of OMB's category management initiative, including the benefits realized and challenges encounter
Fiscal Condition of the Government <ul style="list-style-type: none">Examine options for budget controls to help address the nation's long-term fiscal challengesAssess the impact of the Tax Cuts and Jobs Act
Technology Assessments <ul style="list-style-type: none">Assess federal efforts to implement IT reforms such as cloud computing, data center optimization, and IT portfolio management

Source: Source: GAO-20-1SP | GAO-20-334P

Goal 4

Our fourth goal is to maximize the value of GAO by enabling quality, timely service to Congress, and being a leading practices federal agency through an internal focus on improving efficiency and effectiveness in performing work, maintaining and enhancing a diverse workforce, expanding collaboration to promote professional standards, and being a responsible steward of resources.

Table 15 presents selected accomplishments attributable to GAO’s Goal 4 in fiscal year 2019.

Lead GAO Team for Goal 4
Chief Administrative Officer (CAO/CFO)
Primary GAO Teams Contributing to Goal 4
Field Operations
Financial Management and Business Operations
Human Capital
Information Systems and Technology Services
Infrastructure Operations
Learning Center
Professional Development Program
Supporting GAO Teams
Applied Research and Methods
Audit Policy and Quality Assurance
Congressional Relations
General Counsel
Opportunity and Inclusiveness
Public Affairs
Strategic Planning and External Liaison
Source: GAO-20-1SP GAO-20-334SP

Table 15: GAO’s Selected Goal 4 Accomplishments in Fiscal Year 2019	
Empowering GAO’s workforce to excel through strategic talent management	<ul style="list-style-type: none">• Hired 352 permanent employees and 222 paid interns, exceeding our target of 3,150 full-time equivalent (FTE) employees with 3,161 FTE• Performed a 5-year assessment of our performance appraisal system to ensure performance management principles are being met as efficiently and effectively as possible• Issued our Diversity, Equity, and Inclusion Strategic Implementation Plan, which identifies priority areas for future efforts and includes performance measures to assess these efforts
Streamlining GAO’s processes to deliver quality products and promote knowledge sharing	<ul style="list-style-type: none">• Created the Science, Technology Assessment, and Analytics (STAA) team to consolidate like-functions and build GAO’s computing capacity• Redesigned Watchdog, our website for members of the Congress and their staffs, to improve usability and better acquaint new members with our services• Our Center for Strategic Foresight held an expert meeting to examine the policy questions around emerging issues related to deep fakes and national and international activities in space
Providing modern integrated tools and systems in a secure environment	<ul style="list-style-type: none">• Began the agency-wide rollout of the Virtual Desktop Initiative (VDI) 2.0, - to include Windows 10, Skype, and Office 2016 – which provides much-needed new infrastructure equipment, resulting in increased processing speed and additional memory• Upgraded FraudNet, our public-facing eFile portal used to submit allegations of fraud, waste, and abuse in federal programs, to allow for improved monitoring of case progression and performance• Made key updates to our online security clearance system to enhance our ability to efficiently perform security clearance reviews of our employees

Source: GAO-20-1SP | GAO 20-334SP

Table 16 provides an example of work that GAO plans to conduct during fiscal years 2020 and 2021 under Goal 4.

Table 16: GAO's Planned Work under Goal 4

Strategic Talent Management

- Continue to identify, attract, and retain a high quality workforce and achieve 3,200 full-time equivalents (FTE) in 2020
- Conduct learning needs assessments for our analyst and management staff to expand our capacity as a learning organization and enhance leadership knowledge, performance and accountability
- Identify strategies to leverage technology to enhance workforce connectedness in a virtual work environment

Streamlined Process and Knowledge Sharing

- Procure and begin rollout of a new Enterprise Content Management system to improve our ability to capture, manage, store, and preserve our electronic content and documents
- Retire several outdated legacy tools with a Talent Management solution to provide managers and staff with a comprehensive suite of online tools to manage learning and performance
- Continue to enhance our analytics capabilities for both ongoing improvements to operational efficiencies and to support our mission-driven audit responsibilities

Integrated Tools and Systems

- Continue to evaluate the migration to cloud-based services, streamline our technology footprint, and position ourselves for a more predictable operating expense budget
- Take advantage of centralized and cloud solutions that provide services to GAO, where appropriate
- Continue to identify more efficient and secure ways to host our computing environment from headquarters to an offsite environment
- Complete efforts to relocate field office staff from commercial to government owned buildings
- Prioritize deferred maintenance at the GAO headquarters building, including heating and air conditioning infrastructure and major electrical equipment that are original to the building and past useful life

Source: GAO-20-1SP | GAO-20-334SP

Management Challenges

The Comptroller General, along with his Executive Committee, and other senior executives identify management challenges through the agency's risk management, strategic planning, internal controls execution, and budgetary processes. We monitor our progress in addressing these challenges through our annual performance and accountability process, and ask our IG each year to comment on management's assessment of these challenges. For fiscal year 2019, we focused management attention on the following three challenges, which are summarized below:

- Managing a quality workforce;
- Improving the efficiency of our engagements; and
- Ensuring the risk to GAO's IT services is effectively managed.

Challenge: Managing a quality workforce

More than 80 percent of GAO's budget goes toward its people; as a result, it is critical that we hire the right people, provide them with the right training, and retain them. GAO must maintain a skilled, engaged, and committed workforce in order to fulfill its mission.

Acquire talent: The complex work performed by GAO requires an agile and diverse mix of talent—for both our analyst cohort and the operations staff who support them—equipped with critical skills that align with the evolving strategic workforce needs of the agency to optimally deliver GAO's mission. The current job market, with its record low levels of unemployment, particularly in the Washington, DC metropolitan area, makes attracting quality talent with the necessary skills a top challenge. To address this challenge, we honed our recruiting efforts to further focus on colleges and universities with programs that are commensurate with the

skills our analysts need to succeed; continued to foster and leverage long-standing relationships with higher education officials through a variety of ongoing partnerships; and identified new ways of attracting diverse candidates.

Retain an expert, seasoned workforce:

Hiring people with the right skills is just the first step; retaining them is the next challenge. While our attrition rate has remained steady in recent years, we are mindful that the competitive job market and economy are constant challenges for retention. Retaining our people requires that we nurture and sustain employees throughout their careers—as professionals and as people. We support a culture of work-life balance and professional growth through our robust telework program, flexible work schedules, our student loan repayment program, and an annual analyst promotion cycle. In addition to our continued focus on providing professional education and developmental opportunities to employees at all stages of their careers, both virtually and in the classroom, we recognize the importance of front-line supervisors in creating, maintaining, and retaining an engaged, productive workforce. Our supervisors receive ongoing training on such topics as developing, motivating, and empowering staff, having constructive performance conversations; connecting teams at a distance; and more.

Manage and engage a remote workforce:

Nearly all GAO employees participate in some form of telework. Leading and sustaining GAO's virtual workforce requires being aware of the implications of having a virtual environment and ensuring our mission is being fulfilled, while also being intentional about communication and engagement. While we continually monitor adherence to established telework program requirements and have implemented significant internal control measures to ensure telework eligibility is met and participation is in accordance with the Telework Enhancement Act of 2010, telework is not without its challenges. Based on our first annual telework survey in fiscal

year 2019 that gathered employees' opinions and experiences about working in a telework environment, we know that while employees are overwhelmingly positive about telework as a program, challenges with technology are prevalent. To address these concerns, as well as a recommendation from a 2014 telework evaluation on collaboration tools, we are in the process of deploying a number of IT initiatives to improve the telework experience, including consolidating our communications tools via a Unified Communications Tool (UCT). UCT implementation is interdependent on the synchronized rollout of several major IT initiatives, all in the pipeline for this fall and winter. From a programmatic oversight perspective, an Executive Development Team examined and made recommendations on potential indicators and procedures we could use to assess the impact of telework on product quality and collaboration.

Continually sustain an inclusive work environment: We are committed to creating and maintaining an organization where every employee feels valued, respected, treated fairly, and is given opportunities to enrich the work of GAO through their unique skills, talents, and life experiences. While GAO is a recognized leader for its support of diversity and inclusion (D&I), we continue to recognize D&I as a challenge due to the ever-changing landscape of D&I issues; the need for agile response to changing conversations and language surrounding D&I; and our commitment to constant vigilance, care, and attention to fostering an inclusive work environment, regardless of historic and recent successes. Following the launch of our people values in 2017, in September 2019, we issued our Diversity, Equity, and Inclusion (DE&I) Strategic Implementation Plan which identifies priority areas of focus for our future DE&I efforts that align with our Strategic Plan Performance Goal 4 and Equal Opportunity Policy. Priority areas include proactively broadening the outreach of our diversity recruitment efforts; developing and offering additional DE&I learning opportunities for all employees with an enhanced emphasis on our operations support employees; increasing

participation of people of color in our formal mentoring program; and ensuring equitable opportunities for advancing and retaining a cadre of diverse employees eligible for opportunities at all organizational levels. Lastly, it includes performance measures that will allow us to assess our efforts to nurture a supportive and fair work environment.

Challenge: Improving the Efficiency of Our Engagements

Improving the efficiency of conducting and delivering the results of our analyses—the core of GAO's work—continues to be a challenge. This work depends on processes that ensure we are in compliance with professional standards and appropriate management oversight, but it is difficult to balance completing the necessary administrative steps with the desire to maximize the time spent conducting our core work. In addition, every aspect of our work is dependent on a suite of IT systems that are in continuous need of modernization or replacement, and it is an ongoing challenge to prioritize competing demands for resources. We are beginning an evaluation of the updates to our engagement process that we made in July 2015, to determine how well we met our goals and whether further modifications might be necessary. These engagement process updates, together with our current efforts to integrate project management techniques into the process, will deliver efficiencies in our staff days and engagement durations to ensure we meet our client needs in a timely and effective manner.

In the area of technology, we continue to update the systems relevant to audit engagements, this year focusing on several systems that support GAO case management needs. These updates streamlined user interfaces and integrated the systems with our engagement management system, eliminating duplicate data entry, reducing errors, and allowing us to continue to modernize and decommission outdated legacy systems.

We are also conducting the second phase of pilot testing a new system that will facilitate our ability to easily generate our products in a web-based format that our clients and the public can access on any device, including handheld mobile devices. We have successfully used this system to publish multiple products during the pilot, and plan to use it to publish the majority of unclassified reports beginning in fiscal year 2020. Subsequent releases are envisioned to enable additional efficiencies in fact checking and publishing processes. In addition, with the increase in dedicated funding we received in fiscal years 2018-19, we have made progress in replacing outdated systems with modern, integrated solutions. In particular, we are in the early phases of replacing our content management system with a new system that will improve efficiency in saving and retrieving content, finding and associating like content, and eventually automating manual and cumbersome workflows. Successful implementation of efficiency projects, technology updates, and new IT systems requires a disciplined approach to manage, plan, and execute work, as well as the careful application of change management principles. Challenges remain in balancing these disciplines to ensure the success of these initiatives.

Challenge: Ensuring the Risk to GAO's Information Technology Services is Effectively Managed

Given escalating and emerging threats from around the globe and the steady advances in the sophistication and the destructiveness of attack technology, ensuring the confidentiality, integrity, and availability of our IT services will continue to be a management challenge for GAO and for all government and private sector entities for the foreseeable future. To monitor, detect, and respond to inappropriate access to computer resources, we have established a layered approach to providing reliable information technology services, including the use of security building blocks for basic authentication and access

controls. As threats continue to evolve, we continue to pursue advanced technologies to protect our information and information systems.

GAO manages risk to IT services through a variety of mechanisms. At the top of the organization, we have created a Risk Management Committee, co-chaired by our Chief Operating Officer and Chief Administrative Officer/Chief Financial Officer, who also serve as Chief Risk Officers. This committee oversees GAO's enterprise risk management program to better manage enterprise risk activities, ensuring that we can appropriately mitigate risks and achieve our strategic and operational goals and objectives.

Our information systems and security program are reviewed annually by focused assessments to validate the confidentiality, integrity, and availability of its operating environment by identifying risks that have a potential to limit our achievement of IT strategic and operational goals and objectives if not managed effectively. Providing a stable IT infrastructure is a key component of GAO's risk profile which we use to manage current and proposed projects and actions to mitigate the impact of identified risks, ensuring GAO's ability to maintain a high-performing, results-oriented workforce, while continually improving the efficiency of our engagements.

Providing "defense-in-depth" secure technological solutions to users across all of GAO continues to be a challenge, as it is for every federal agency. GAO continually works to provide highly scalable systems on a modern technology platform in an ever-changing environment while also working to ensure the agency's systems are secure from threats. Maintaining hardware and software on our own network has inherent costs and risks. To address the challenges of such ownership and maintenance, we have recently embraced cloud-based technology solutions for key business processes and continue to develop systems and processes to enable GAO's work in the cloud in a secure

manner. As such, we continue to place a high value on protecting our assets, data, and systems, while providing a robust computing capability to meet our business needs. GAO continues to standardize on the use of a virtual desktop infrastructure and other cloud-based infrastructures to improve performance across the enterprise and reduce risk from security threats and operational availability. Finally, we have targeted additional cloud services that will greatly improve employee communication, collaboration, and efficiency. GAO is looking to expand its use of cloud opportunities to transform IT services, increase access of a mobile workforce, and improve our availability of services. During these planned transitions, maintaining effective continuity of services is a critical component of our planning effort. Providing the full range of agency-level functions and requirements within a tight budget environment is a challenge GAO works every day to meet.

Mitigating External Factors

While GAO's fiscal year 2019 appropriation allowed the agency to invest in IT and building facility projects, and begin to increase staffing, several external factors exist that could affect our performance and progress toward our goals. These include:

- shifts in congressional interest;
- modifications or repeals of outdated statutory requirements;
- challenges in hiring desired expertise; and
- access to agency information.

Demand for our work is very high as demonstrated by the 671 congressional requests and new mandates in fiscal year 2019. The Comptroller General and other senior officials maintain frequent communication with our congressional clients to ensure that our work supports the highest

legislative and oversight priorities while recognizing that changing international and domestic events may affect priorities.

In fiscal year 2019, GAO met hundreds of statutory requirements for work. We continue to collaborate with the Congress to revise and repeal mandated reporting requirements that are no longer meeting

their intended purpose. GAO worked with the Congress to revise mandates in the National Defense Authorization Act and is currently working to shift many low-risk financial audits to public accounting firms so GAO can audit Treasury's General Fund. The fund, which has never been audited before, covers every federal entity that receives appropriated funds. We hope to achieve passage of this bill by the end of the current Congress.

In January, we established the STAA team to continue and expand our focus on rapidly evolving science and technology issues. We also renamed our Information Technology team the Information Technology and Cybersecurity team to reflect better its mission. The team recently updated our cybersecurity high-risk area to highlight urgent actions that are needed by federal agencies to ensure their cybersecurity. As we continue to assess anticipated future work related to science and technology and cybersecurity, we plan to focus hiring on additional engineers or scientists and staff with scientific and technology policy analysis experience to broaden our scientific and technical expertise. As GAO plans to increase the level of staff hired in these specialty areas, it faces challenges recruiting and hiring staff with the desired education, experience, and expertise.

Access to information also plays an essential role in our ability to report on issues of importance to the Congress and the American people. We are generally able to obtain the information needed for our engagements. For the most part, departments and agencies continue to be cooperative in providing us access to requested information or working

with us toward an accommodation that will allow the work to move forward.

We reported for the past several years on our experiences in obtaining access from elements of the Intelligence Community (IC) pursuant to Intelligence Community Directive (ICD) 114, which was issued in 2011 by the Director of National Intelligence, in consultation with the Comptroller General. While ICD 114 generally provides for constructive interaction between GAO and the IC, we continue to have concerns with how several key terms in the directive could be interpreted because they are framed as categories of information that would generally not be made available to us for certain audits or reviews.

During fiscal year 2019, GAO's work reviewing activities of the IC continued to grow, and we continued to require a significant amount of time and effort to work through access issues that often delayed our work. Last year we reported that we were unable to reach an accommodation with the Office of the Director of National Intelligence (ODNI) over access to key budget-related documents necessary to fully address a review of IC business enterprise functions requested by the intelligence oversight committees. This past year, we were able to successfully work through all access issues with the IC elements and obtain the information necessary for our reviews, including access to certain cost data and funding information from ODNI. We will continue to monitor the level of cooperation provided by ODNI and the other IC elements as they implement ICD 114, and we remain committed to a constructive engagement with the IC moving forward.

We previously reported that we had encountered significant difficulties in obtaining timely and efficient access to information from the Office of Personnel Management (OPM), particularly with regard to Enterprise Human Resources Integration (EHRI) statistical data. We have made significant progress in obtaining timely access to EHRI data and other information from OPM. We will continue

to monitor this area to ensure continued progress in obtaining needed information in a timely manner.

Last year, we reported that we had communicated with the White House Counsel about our difficulties in obtaining meetings and information from White House Counsel staff and National Security Council (NSC) staff and that efforts to resolve the situation were ongoing. Over the past year, our outreach efforts were successful in establishing a continuing, constructive dialogue with the White House Counsel and NSC staff. We will continue to engage with these staff to facilitate our access to requested information on the fairly limited basis needed for our engagements.

Collecting Input from Experts

To expand our strategic and annual planning efforts, we will continue gathering information and perspectives on issues, trends, and lessons learned from the domestic and international audit and strategic planning communities. These include advisory boards, working groups, and forums; GAO's Center for Strategic Foresight; issue-specific and technical panels; as well as our emerging issues speakers' series. We will also continually scan for international and domestic developments that affect the external environment in which GAO operates. During fiscal years 2020 and 2021, this will include:

- The ***Comptroller General's Advisory Board***, whose members from the public, private, and nonprofit sectors have broad expertise related to the strategic objectives outlined in our 2018-2023 Strategic Plan.
- The ***Domestic Working Group***, which is composed of the Comptroller General; the heads of 18 federal, state, and local audit organizations; and one tribal representative who meet to exchange information and pursue opportunities to

collaborate on accountability issues that affect all levels of government.

- The **Comptroller General and Other Expert Forums**, which GAO periodically convenes on topics affecting the federal government's role in meeting national challenges. The goal of each forum is to facilitate a discussion among leaders and experts in various fields that stimulates new partnerships and identifies actions designed to address the relevant issues. After a forum, GAO generally publishes a report summarizing the discussions on a non-attribution basis and notes the leaders and experts who participated.
- The **Center for Strategic Foresight**, which includes Fellows from around the world with public, private, and nonprofit sector expertise in matters related to strategic foresight and planning. The Center helps GAO enhance its ability to provide Congress with analysis and projected trends about potential future impacts on federal agencies and programs.

We will also continue to enhance our strategic and annual planning efforts through four issue-specific and technical panels:

- The **Advisory Council on Government Auditing Standards**, which provides input and recommendations to the Comptroller General in his role of issuing generally accepted government auditing standards, popularly known as the "Yellow Book." These standards provide a framework for conducting high-quality audits with competence, integrity, objectivity, and independence. Audits performed in accordance with these standards provide information used for oversight, accountability, transparency, and improvements in government programs and operations.
- The **Accountability Advisory Council**, which is composed of experts from the financial management community who

advise GAO on vital and emerging issues related to federal financial management and performance/accountability reporting, primarily in conjunction with our continued efforts to audit the U.S. government's consolidated financial statements.

- The **Executive Council on Information Management and Technology**, which is composed of experts from the public and private sectors and representatives of professional organizations who help GAO identify high-risk and emerging issues in the IT sector.
- The **Comptroller General's Educators' Advisory Panel**, which is composed of deans, professors, and other academics from universities across the nation who advise GAO on strategic human capital matters like recruiting, retaining, and developing staff.

Collaborating with Other Organizations

In addition to these formal advisory bodies, GAO networks with federal, state, local, and international officials with similar or complementary missions, notably through the following organizations:

- The **National Intergovernmental Audit Forum (NIAF)** and 10 regional intergovernmental audit forums, through which GAO consults with colleagues from federal, state, and local audit organizations. The forums exist to improve coordination, communication, and cooperation among their members, private-sector firms, and other accountability organizations. Their goal is to address common challenges; provide training, development, and knowledge-sharing opportunities for the auditing community; enhance government performance, accountability, and transparency; and increase public

trust. In fiscal years 2020 and 2021, NIAF and the regional forums will hold meetings to share best practices and address common issues facing the audit community.

- The **Council of Inspectors General on Integrity and Efficiency (CIGIE)**, which was created by statute in 2008, is comprised of federal Inspectors General (IG). GAO generally holds an annual coordination meeting with CIGIE and collaborates with this council and individual IGs to facilitate our audit work, avoid overlap and duplication of effort, and share best practices.
- The **International Organization of Supreme Audit Institutions (INTOSAI)**, which is comprised of more than 190 national audit offices, is our primary vehicle for collaborating internationally. In fiscal years 2020 and 2021, GAO will contribute knowledge and assistance to 26 INTOSAI governance bodies and working groups on a range of issues.

Building the Capacity of Accountability Community Partners

GAO will continue strengthening professional standards, providing technical assistance, building capacity, and developing and disseminating best practices. GAO plans to take the following actions in fiscal years 2020 and 2021:

- Provide **leadership in INTOSAI's governing bodies and working groups**. This will include GAO's work through leadership positions on the Working Group on Financial Modernization and Regulatory Reform; the Working Group on Big Data; the Policy, Finance, and Administration Committee; the INTOSAI-Donor Cooperation Steering Committee, and the Working Group on the Impacts of Science and Technology. GAO will also serve on the INTOSAI Governing Board

and lead the Task Force developing its Strategic Plan for 2023-2028. GAO will continue enhancing international auditing standards through its participation in the Forum for INTOSAI Professional Pronouncements, a standard-setting body for the public-sector audit community.

- Work through the **INTOSAI-Donor Cooperation (IDC) Steering Committee** to advance INTOSAI's capacity-building goal. IDC was established through a memorandum of understanding between INTOSAI and 23 donor organizations, and the initiative aims to coordinate efforts to strengthen Supreme Audit Institutions (SAI) in developing countries. The focus will continue to be matching developing SAIs' needs with donor funds to improve the capacity of audit organizations using a long term Strategy for 2020-2030 that was developed under GAO's leadership.
- Leverage the 4-month **International Audit Fellowship Program** to enhance the capacity of national audit offices around the world. Since the program's inception in 1979, more than 600 officials from over 100 countries have participated. GAO continues to receive extensive interest in this program and will conduct the next class from March through July 2020.
- Publish the **International Journal of Government Auditing**, a quarterly publication that serves as INTOSAI's main platform for sharing information among the international public sector accountability community.

Building the Capacity of Accountability Community Partners

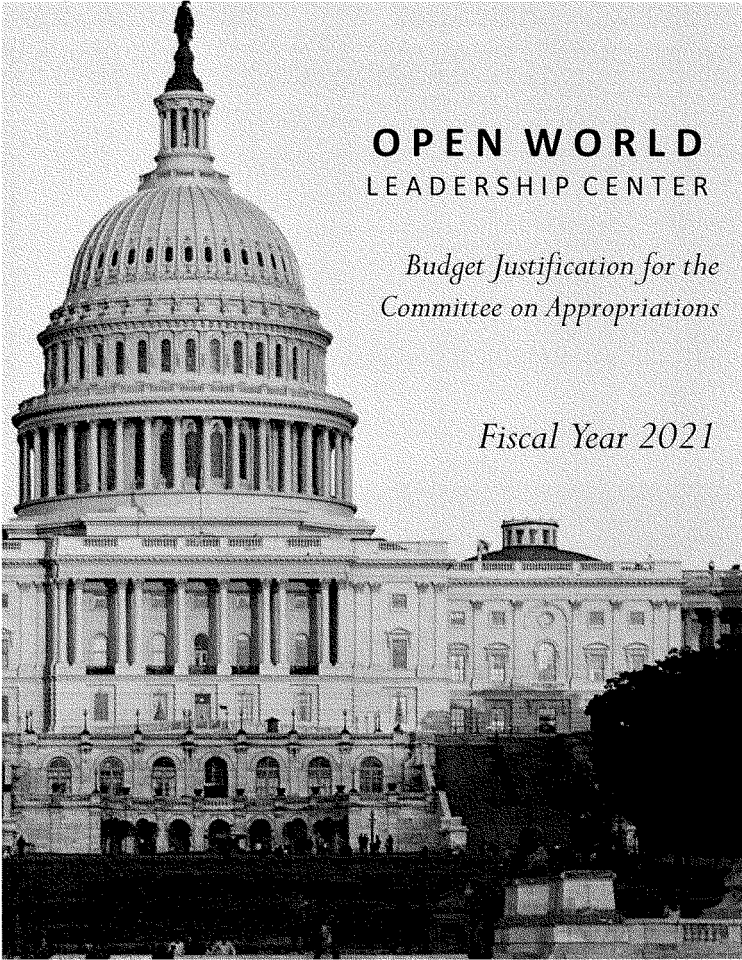
We will continue to grow the Center for Audit Excellence (the Center) by focusing on expanding partnerships and implementing the Center's Business Plan. Congress authorized GAO to establish the Center in 2014 to

provide training and technical assistance that enhance the capacity of domestic and international accountability organizations. The Center is unique in its ability to tackle complex training and capacity- building projects because it can offer a wide range of services at locations throughout the world and is authorized to charge fees for its services. In 2020-2021, GAO will:

- **Grow the Center's business volume and revenue base.** Since the Center's opening in October 2015, the Center has expanded its volume of business significantly and increased annual revenue from \$41,000 in fees in fiscal year 2016 to \$806,000 in fiscal year 2019. In fiscal year 2019, provided training and technical assistance to 16 domestic organizations—including federal inspectors general and state and local audit offices—that enhanced their understanding of federal internal control standards, recently updated government auditing standards, and performance audit planning tools and methodologies. In 2020-2021, GAO will continue to provide high-quality training and explore new course offerings that invite repeat business and draw new customers. The Center also plans to strengthen its relationships with federal IGs, state and

local audit organizations, and professional associations.

- **Strengthen international partnerships.** The Center expanded its work and strengthened its partnerships with international donor and accountability organizations in fiscal year 2019. Leveraging its Memorandum of Understanding (MOU) with the U.S. Agency for International Development, which was signed in 2016, the Center provided performance audit training to an audit organization in Europe; conducted a capacity-building needs assessment of an SAI in Eastern Europe, and began a 3-year project to assist the Philippines Commission on Audit to build capacity in performance auditing. The Center also expanded its partnerships by signing a MOU with the World Bank in March 2019 and collaborated with World Bank officials to identify potential opportunities for future capacity-building projects. In 2020-2021, GAO will build on these successes to sustain a reputation for excellence among international audit institutions.



OPEN WORLD
LEADERSHIP CENTER

*Budget Justification for the
Committee on Appropriations*

Fiscal Year 2021



Budget Justification for Fiscal Year 2021

Budget Request Summary

Open World Board of Trustees

- Tab 1** FY2021 Budget Justification
- Tab 2** List of Grantees, Host Organizations and Judges by State
- Tab 3** Planned Open World Delegations by Date – CY2020



Budget Request Summary

The Center's Budget request of \$5.9 million for fiscal year 2021 reflects no increase of the fiscal year 2020 enacted funding.

Summary of Costs by Category

TOTAL PROJECTED AVAILABLE \$ 6,758,596

Contracts/Embassy/Other Agreements	2,952,300
Grants/Other Program Costs	2,687,515
Salary/Benefits	623,250
Subtotal Less Direct Program Costs	\$ 6,263,065

Salary/Benefits	363,650
All Other Operating Expenses	97,935
Subtotal Less Administrative Costs	\$ 461,585

TOTAL PROJECTED COSTS \$ 6,724,650

PROJECTED BALANCE	33,946
Overhead Rate	6.9%

NOTE: The amount over \$5.9 million shown here will be covered by unanticipated interagency transfers and other offsets.

Open World spends its appropriation in two categories: Direct Program Costs and Administration Costs. Direct Program Costs include a logistical coordinator contract; grants to host organizations across the United States; Memoranda of Agreements with most U.S. embassies in Open World countries; and about 65% of the salary and benefits of the Center's staff.

The logistical services contract with a Washington-based NGO is the single largest expenditure in the Program category at Open World. Grants/Other Hosting Costs refer to national and local hosting organizations (such as Rotary Club, Friendship Force International, and community colleges) that plan and execute an 8-day local program for each delegation.

The Administrative category includes an interagency agreement with the Library of Congress for infrastructure services; small contracts for professional services; postage, telephone, cell phones; equipment and software; and office supplies and materials. The Center benefits from lower administrative costs due to its physical location in the Library of Congress. Finally, agreements with other agencies for infrastructure services or for printing, webhosting, or graphic design are also included here.



OPEN WORLD
LEADERSHIP CENTER



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Fiscal 2021 Budget Request

The Open World Leadership Center (the Center) respectfully requests that its fiscal 2021 appropriation remain at the fiscal 2020 appropriation level of \$5.9 million. This level will provide for continued support of its staff, operating expenses, and administration of the Open World program. The Center thanks Chairman Ryan and Ranking Member Herrera-Beutler for their leadership and support of the agency.

The increased funding the Center received for fiscal 2020 allows us to keep up with recent cost increases in salaries and benefits. Level funding in fiscal 2021 will continue to support our work in Ukraine to counterbalance Kremlin disinformation and our work in Russia to keep the lines of communication open with the post-Putin generation. The other Open World countries will continue to benefit from robust civil society programs and increased Parliamentary delegations. Altogether the Center will maintain its strong and trusted presence in the region.

Resource Summary (Actual Dollars)

Appropriation	Fiscal 2019				Fiscal 2020		Fiscal 2021		Fiscal 2019/2020	
	Operating Plan		Actual Obligations		Operating Plan		Adjusted Operating Plan		Net Change	
	FTE	\$	FTE	\$	FTE	\$	FTE	\$	FTE	\$
5,600,000	8.0	5,600,000	8.0	5,600,000	9.0	5,900,000	9.0	5,900,000	+1.0	+300,000
Recovered Obligations		850,000		583,525		700,000		730,000		
Revenue		75,000		113,270		125,000		125,000		
Prior Year Carryover Funds		42,933		16,856		33,946		33,596		
USAID - Armenia		0		40,000		0		0		
USAID - Kazakhstan		0		0		95,194		0		
USAID/DOS - Moldova		0		100,000		88,000		0		
USAID - Regional	¹	0		400,000		0		0		
USAID/DOS - Serbia		0		230,000		0		0		
USAID - Tajikistan	¹	0		100,500		95,194		0		
USAID - Turkmenistan	¹	0		40,000		40,000		0		
USAID - Ukraine	¹	0		1,105,500		1,451,702		0		
USAID - Uzbekistan	¹	0		60,300		88,800		0		
Subtotal Avail Funds		6,567,933		8,389,951		8,617,836		6,788,596		
Personnel Salary		652,608		726,860		765,800		770,000		
Personnel Benefits		214,660		240,374		246,000		249,000		
Travel, Transp, Utilities		56,600		40,788		92,600		92,600		
Other Services, Misc		15,000		18,423		19,000		19,000		
Services, Other Agencies	²	1,150,000		940,301		950,000		950,000		
Contracts		1,967,307		2,337,064		2,370,000		2,340,000		
Entertainment/Subsistence	³	244,525		230,005		220,050		220,050		
Supplies, Equipment		14,500		17,947		14,000		14,000		
Grants		2,200,000		1,780,043		2,100,000		2,100,000		
Adjustment for USAID funds	⁴			2,024,200		1,806,790				
Subtotal Obligations		6,515,200		8,356,005		8,584,240		6,754,650		
Total Available Balance		52,733		33,946		33,596		33,946		

¹ At the time of compiling the fiscal 2019 Operating Plan, the Center did not know the status of these USAID transfers. All of the transfers were completed in the final weeks of the fiscal year and were obligated accordingly.

² This includes all MOUs with US Embassies in Open World countries; the Library of Congress-OWLC Interagency Agreement; the House of Representatives for webhosting; and GPO printing services.

³ In order to save money, the Center purchases services for food and accommodation directly from the vendors. Under the logistical contract, these costs were previously subject to a 17% indirect charge.

⁴ All USAID transfers are obligated/liquidated for program expenses only.

Total Funds – All Sources**(Actual Dollars)**

Total Funds Available - All Sources				
(Actual Dollars)				
	Fiscal 2019 Actual		Fiscal 2020 Projected	Fiscal 2021 Projected
Appropriated Funds	5,600,000		5,900,000	5,900,000
Recovered Funds	583,525		700,000	700,000
Revenue	113,270		125,000	125,000
Carry Over Funds	16,856		33,946	33,596
USAID - Armenia	40,000		0	0
USAID - Kazakhstan	0		95,194	0
USAID - Moldova	100,000		88,000	0
USAID - Regional	400,000		0	0
Dept of State - Serbia	230,000		0	0
USAID - Tajikistan	100,500		95,194	0
USAID - Turkmenistan	40,000		40,000	0
USAID - Ukraine	1,105,500		1,451,702	0
USAID - Uzbekistan	60,300		88,800	0
Total Funds Available	8,389,951		8,617,836	6,758,596
*Interagency transfers occur very late in the fiscal year. The Center does not expect the fiscal 2020 funds to be transferred until late summer of 2020 and has not received word of any fiscal 2021 funds.				

Overview of the Open World Leadership Center

In 1999, Congress authorized the Open World program (then called the Russian Leadership Program) as a pilot project as a result of discussions between then Librarian of Congress, Dr. James H. Billington, and a bicameral and bipartisan group of Members of Congress. The project focused on the question of how to increase mutual understanding between Russia and the United States and to support Russia's democratization efforts. In December 2000, the success of the Russian Leadership pilot program and the continued importance of its mission led Congress,

through the leadership of the House and Senate Appropriations Committees, to establish a permanent, independent entity in the Legislative Branch to administer the program: the Open World Leadership Center (the Center).

The Center conducts the Open World program, one of the most effective U.S. exchange programs for countries¹ in transition. Participation on the program has enabled more than 29,000 young global leaders to engage in and interact with Members of Congress, Congressional staff, and thousands of other Americans, many of whom are the delegates' direct professional counterparts. The Open World program focuses on assisting Congress in its oversight responsibilities and on conducting exchanges that establish and foster lasting professional relationships between the emerging leaders of Open World program countries and Americans dedicated to showcasing U.S. values and democratic institutions. The Center's non-partisan nature and independence from the priorities of the executive branch is an important asset for the program.

The highly-regarded Open World program has also played an increasingly vital role in the political landscapes of many countries throughout Eurasia. The Center has brought rising leaders who have become influential in the national arena and within their communities. The Center has also built substantial expertise in conducting exchange programs tailored to support the Legislative Branch. As it embarks on its third decade, the Open World Leadership Center continues to strive for excellence in providing relevant, informative, and timely programs for foreign legislators and the best and brightest young professionals in Open World program countries.

Program Objectives

The Open World Leadership Center is committed to a strategy designed to strengthen our work in support of Congress and its international outreach to cement our legislative identity. To that end, the Center continues to focus its programming on a geographically and professionally broad

¹ Current Open World countries are: Armenia, Azerbaijan, Belarus, Estonia, Georgia, Kazakhstan, Kosovo, Kyrgyzstan, Moldova, Mongolia, North Macedonia, Russia, Serbia, Tajikistan, Turkmenistan, Ukraine, and Uzbekistan.

cross-section of emerging leaders who might not otherwise have the opportunity to visit the United States:

Over the life of the program:

- Participants have come from every political region of Russia and Ukraine.
- More than 11,000 federal, regional, and local government officials have participated, including 713 Members of Parliament and Parliamentary Staff; 3,758 regional legislators and staff; and 4,394 judges and judicial/legal professionals.

In 2019:

- The average age of Open World participants was 33 with 34% of the participants under the age 30 and under.
- More than 15% of all participants were national and regional legislators and staff.
- The average cost per participant of the Open World program is \$8,800-9,200 compared to approximately \$19,000 per person for a similar executive branch program.

Interest in the Open World program remains robust within American hosting communities. The demand for hosting Open World program delegations is more than triple the supply of available slots due to capacity and funding limitations. Delegates are hosted by a large and dedicated group of American citizens who live in state capitals, cities, small towns, and rural communities throughout the United States.

The Open World Parliamentary Program in 2019

In developing its latest strategic plan, the Center's Board of Trustees emphasized the importance of parliamentary programs that link Members of Congress to their counterparts from Open World countries. A goal was then set that 15% of delegates would be Members of Parliament, parliamentary staff or regional legislators or their staff. We met that goal in 2019.

The interaction between our Parliamentarians and Members of Congress created numerous opportunities for unfiltered dialogue between the U.S. Congress and Parliaments from Open World countries. It also provided timely discussion of the political and economic conditions affecting these countries. Overall, fifteen parliamentary delegations consisting of 89 participants

from ten countries (Armenia, Georgia, Kazakhstan, Kyrgyzstan, Moldova, North Macedonia, Serbia, Tajikistan, Ukraine, and Uzbekistan) traveled to the United States for home stays from Olympia, WA to Burlington, VT and ten states in between.

The Open World Leadership Center made great strides in 2019 to further strengthen its relationship with the U.S. Congress and further engage Members of Congress in our parliamentary programs. To that end, 2019 was the first year that the Center cooperated with congressional caucuses to put on joint events to introduce Open World delegations of Members of Parliament. In November 2019, the Center paired with the Congressional Caucus on Armenian Issues to hold a reception for a delegation of Members of Parliament from Armenia. Also in November 2019, the Center paired with the Congressional Ukrainian Caucus to hold reception for a delegation of newly elected members of the Ukrainian Parliament. The Center plans to increase the number of congressional events held in conjunction with congressional caucuses and committees in 2020. The Center is also increasing ties with the Parliaments in other participating countries. In 2019, the Center cemented a close relationship with the Parliament of Georgia to such an extent that the Secretary General and the Center are in the process of finalizing a Memorandum of Understanding with the Parliament towards improving the functioning of the administration of both legislative bodies, bearing in mind the importance of bilateral relations and recognizing the will to further enhance mutual cooperation. According to the Chief of Staff of the Vice Speaker of the Parliament of Georgia.

“Open World’s Parliamentary exchange program has been the most successful program ever in its history.”

Open World’s Parliamentary program is profoundly effective because it provides the participants the opportunity to present their country and its issues to Members of Congress. The relationships established during this program leads to great relationships with Open World parliamentary alumni, who are then eager to nominate other strong candidates and to help develop programmatic themes based on the necessities of their country. This one-on-one contact and unrivaled access, the sharing of meals, and the fact that the Center individually tailors each program has made these exchanges beneficial for both the visiting Parliamentarians and the Members of Congress with whom they meet and whom the Open World Leadership Center serves. The Center plans to continue and enhance this important programming in 2020.

Calendar Year 2019 Statistics & 2020 Plans

Overview

In 2019, the Open World Leadership Center hosted a total of 1,020 delegates from 16 countries in more than **121** American host communities in **48** states. In a climate of uncertainty in the international arena, the Center continues to serve as a resource of unvarnished information for Members of Congress and their constituencies throughout the United States. Our three signature 10-day exchanges – Members of Parliament, Judicial Rule of Law, and Civic Programs – have resulted in the creation of a vital network of more than 29,000 emerging leaders that have had first-hand, peer-to-peer exposure to the United States. In 2019, the Open World Leadership Center brought its 20,000th participant from Russia and its 4,000th participant from Ukraine. With support from the Department of State/USAID, the Center anticipates bringing approximately 1,000 emerging leaders to communities throughout the United States in 2020. Country highlights from 2019 follow the chart below.

Participation by Country

	As Of 12/31/2019	2019 Completed	2020 Scheduled	Fiscal 2021 Projected
Armenia	157	24	31	18
Azerbaijan	337	27	25	12
Belarus	54	18	20	12
<i>Egypt</i>	12	0	0	0
Estonia	26	2	12	4
Georgia	746	54	38	24
Kazakhstan	539	35	30	18
Kosovo	158	12	30	18
Kyrgyzstan	530	28	24	18
<i>Lithuania</i>	104	0	0	0
N. Macedonia	15	12	12	0
Moldova	494	25	37	18
Mongolia	123	21	36	18
Russia	20,134	341	330	300
Serbia	532	48	24	24
Tajikistan	541	22	30	18
<i>Turkey</i>	97	0	0	0
Turkmenistan	197	0	12	6
Ukraine	4,043	321	330	330
Uzbekistan	185	26	24	12
Other programs	49	4	26	12
	29,073	1,020	1,071	862

¹ Other programs include the Rumsfeld Foundation Fellows from most Open World countries; House Democracy Partnership delegations; and other special delegations formed as a result of significant costsharing.

² This number is the most that can be hosted with appropriated funds only (including recovered funds, revenue, and other offsets). The number will grow if USAID funds are transferred during the course of the fiscal year.

* Countries in *italics* are inactive.

Country Statistics

Russia

From 1999 to 2019, the Open World Leadership Center hosted 20,134 young Russian leaders. In calendar year 2019, the Center hosted 341 Russian participants in 57 exchanges. Delegates came from 67 of Russia's 89 administrative subjects, included a wide range of ethnic groups, and were hosted in 42 host communities in 30 U.S. states. Women made up 56% of the delegates.

The Center has maintained a robust program in Russia, despite the continued deterioration of U.S.-Russia relations. In 2019, the Center welcomed its 20,000th Russian participant. The alumni community in the country continues to show a willingness to meet with their American counterparts in Russia, and recommend the program to their colleagues and professional contacts. Russian alumni have self-organized an alumni association and elected leadership to plan activities and networking opportunities.

In 2020, as the U.S.-Russia bilateral relationship is likely to remain severely strained, Open World programs will focus on maintaining partnerships, increasing people-to-people contacts in order to counter disinformation, and foster greater mutual understanding. We will prioritize programs that reinforce long standing partnerships, such as sister city relationships and Rotary club partnerships. The program will counter anti-American propaganda and promote a positive image of the United States by linking professionals with their U.S. counterparts and providing a host family experience for each participant. Program themes will also focus on areas of mutual interest, such as health issues, business and innovation, entrepreneurship, education, national parks/conservation, and inclusion. Many program themes will also include local legislators and those seeking to run for local office.

Open World alumni occupy a wide array of positions at various levels across the country and are willing and eager to help sustain the U.S.-Russia relationship. For example, a delegation of zoologists visited the Henry Doorly Zoo in Omaha, Nebraska in September 2018. Zoo staff mentioned to the group that they had been trying to acquire an Amur tiger from Russia and how difficult it was. The Open World delegates from the Moscow Zoo pledged to help on their side. After returning to Moscow the alumni advocated for the transfer of a tiger to the Omaha Zoo and

the progress picked up quickly, after having been stalled for some time. In November 2019, the tiger made his arrival to Omaha. This is a great example of American and Russian scientists working together on a conservation program to save the Amur tiger, an endangered species.

Another strong area of cooperation between the U.S. and our Russian delegations stems from sister city partnerships. In 2019, there were many events held that showed the strong dedication each city has to maintain, or revitalize, their partnerships. The Zelenograd-Tulsa Sister City partnership was reinvigorated in March, when an event was held to organize the Zelenograd City Cultural Center, with 32 participants in attendance, including alumni, city administration officials, local NGO leaders, and local media and journalists. A videoconference was held to include their counterparts in Tulsa, and they decided to set up a Tulsa informational stand in Zelenograd's local museum. A Portland, ME delegation traveled to Archangelsk over the summer, where they held 5 alumni Sister City partnership-focused events. The Cleveland-Volgograd Sister City partnership held an alumni conference in Volgograd, which was attended by alumni and representatives from several other Sister City committees. This completely revitalized the Cleveland-Volgograd Sister City partnership. The success of these partnerships comes from the genuine desire from the Open World delegates and their American partners to continue a friendship that continuously grows stronger with each year that a new group visits these Sister Cities.

Ukraine

From 2003 to 2019, the Center hosted 4,037 Ukrainian emerging leaders. The Center's objective in Ukraine is to further democratic and free-market processes by providing a new generation of Ukrainian leaders with the vision, skills, and tools needed to develop their country at this critical juncture in its history and while it faces Russian aggression in its South and East. Open World programming in Ukraine is aimed at furthering the reform efforts of the new government, furthering legislative reform, assisting in the decentralization process, promoting the rule of law, improving transparency in the public and private sectors, responding to the humanitarian needs of a war-torn society, and providing a secure safety net to a population demanding change.

In the past year, the Center has seen many of its alumni take critical positions in the new government and take the vanguard on reform. Among the Center's more than 4,000 alumni in

Ukraine are the Minister and Deputy Minister of Healthcare; the Deputy Minister of Veteran Affairs/Temporarily Occupied Territories; two Deputy Ministers of Education and Science; the Deputy Minister of Youth and Sports; and the First Deputy Prosecutor General. The Center also works closely with four additional alumni that are close advisors to Ukraine's President. In addition, twenty-one Members of the Parliament of Ukraine (Verkhovna Rada) are alumni, including fifteen new Members. These alumni include the Heads of the Committees on Legal Policy, Education, and on Science and Innovation; the First Deputy Heads of the Committees on Anticorruption Issues and on Budgeting; and the Secretaries of the Committees on Foreign Policy, Inter-parliamentary Cooperation, and Health. In addition, five Open World alumni have been appointed to the newly formed High Anti-Corruption Court, three in the General Chamber and two in the Appeals division.

The power of the Center's alumni network can be gauged by the success of recent alumni programs such as those on Health Care/Medical Reform Issues, Veterans Affairs, and Decentralization/Economic Development in Eastern Ukraine. All together, the Center conducted 11 alumni events in Ukraine throughout 2019 with the participation of more than 450 program alumni. At the February 2019 Medical Reform event, the former Acting Minister of Healthcare of Ukraine, an active nominator of the program, expressed admiration for Open World program alumni and spoke about the long-term successful cooperation the Ministry of Health has had with the Center, even indicating that she specifically looks for Open World program alumni when she is hiring. At the Veterans Affairs event in October 2019, Open World alumna, Member of Parliament and wounded warrior Yana Zinkevych spoke about her Open World program experience and shared how her participation gave her the courage to join the election campaign and run successfully to become a Member of Parliament. She was followed by Deputy Minister of Veteran Affairs/Temporarily Occupied Territories and wounded warrior Oleksandr Tereshchenko who spoke about how the Open World program inspired him on his professional accomplishments having risen from the director of a small NGO in Mykolaiv to the Deputy Head of the Academy of Patrol Police to his current position.

Open World program results are widespread among emerging Ukrainian leaders in many sectors. Open World program alumni teams have received U.S. Embassy grants aimed at transparency in educational budgeting, empowering youth in remote areas, supporting socially responsible youth startups, promoting women in politics, and furthering best practices in education and academic

integrity. From the NGO Director working to develop and transform the war-torn Donetsk region awarded an Honorable Service medal personally by President Zelensky to small scale woman agriculture leaders expanding the use of greenhouses to an alumna winning international grants to install solar panels on the roof of a rural school, the Center is proud of the achievements of its more than 4,000 alumni in Ukraine. The Center hosted its 4,000th participant from Ukraine in October 2019. This delegate from Kharkiv was also able to participate in the celebration of the 30th Anniversary of the Cincinnati-Kharkiv sister city partnership, which the Center has been supporting since program inception in 2003.

Due to Ukraine's strategic significance, the Center regularly consults with House and Senate Ukraine Caucus members and works closely with the leadership of the U.S. Embassy in Kyiv to design programming that is responsive to the needs of a new government promising reform and that is still facing aggression and the occupation of about seven percent (7%) of its territory. In 2020, the Center will focus its programming on new Members of the Ukrainian Parliament/Legislative Processes, Decentralization/Regional Government, Health System and Education Reform, Rule of Law, Media/Investigative Journalism, Minority Inclusion Issues, Anti-Corruption Efforts, Entrepreneurship and Business Development, Agriculture, Energy Issues, Veteran's Programs and other Social Safety Net Issues. All programming is aimed at strengthening democratic institutions and promoting good governance. As part of the 2020 planning efforts, the Center is embarking on an initiative to provide as many of the 323 new Members of Ukraine's Parliament as calendars permit with programming aimed at providing them exposure to the U.S. Congress and legislative processes at all levels of governance. Four new members of Ukraine's Parliament, including two high-ranking members representing President Zelensky's party, one representing the "Fatherland" party, and one independent representative of the "For the Future" faction, visited with the Center in November 2019, to work on the design of this ambitious initiative. The Open World Leadership Center's Executive Director Jane Sargus and Deputy Executive Director Maura Shelden followed up this visit by traveling to Ukraine in December on a program planning mission and met with the leadership at the U.S. Mission, the Speaker of the Parliament, and other stakeholders, such as the USAID implementer of the Responsible Accountable Democracy Assembly (RADA) program, with which the Center has worked very closely.

Other 2019 Open World Countries

Armenia

From 2011 through 2019, the Center hosted 157 delegates from Armenia. Many young Armenian leaders have been introduced to their American counterparts and observed firsthand the power of civic engagement and accountable governance.

With the Center's very short programming timeline, we are able to adapt themes to the current situations in Yerevan. Following Armenia's Velvet Revolution, the Open World program added delegations to reflect the new situation in Armenia and the new parliament.

After the December 2018 parliamentary elections, the Center saw an opportunity to bring newly elected Members of Parliament on the program to meet their U.S. counterparts. In November 2019, we launched its first parliamentary delegation after the Velvet Revolution. The Center would like to continue this parliamentary program in 2020, focusing on newly elected members. It is an opportunity to expose these members to new mechanisms of law making and deepen their knowledge of the United States legislative process in this crucial time in Armenia's history.

Following the peaceful transition of power during the Velvet Revolution, a new crop of young and dedicated professionals has moved into key roles in the government and Open World alumni flourished into new positions. During the Armenian Velvet Revolution, Alen Simonyan was one of the most active Open World alumni. In December 2018, after Armenia held snap elections, he was again elected to Parliament. Most recently, in January 2019, he was elected and currently serves as the Vice President of the National Assembly. Mane Tandilyan was the Minister of Labor and Social Affairs in 2018 and currently serves as a Member of Parliament. Vahe Danielyan, who participated on the program as a parliamentary staffer, was promoted to Advisor to the Deputy Prime Minister.

In 2020, we will continue to bring emerging leaders from Armenia as we have seen how much of an impact they have in decision-making, looking at their participation in the Velvet Revolution as an example.

Azerbaijan

From 2007 through 2019, the Center hosted 337 delegates from Azerbaijan. These delegates from Azerbaijan benefit immensely from participating in the Open World program. Open World is working to enhance women's role in society since women face numerous social barriers in Azerbaijan. Our programs dedicated to all-women participants include Women in STEM and Women in Politics and Civil Society. Farida Asgarzade, who participated on the Women in Politics and Civil Society program, was recently nominated for the "Influencer of the Year" award at Innovation Week 2019 in Baku. She is the founder of the Human Foundation platform, the director of the Center for Social Business, a teacher at the Business School at Azerbaijan State University of Economics, and is a social entrepreneur.

We are also recognizing those who are underserved and underrepresented, including the disabled, refugees, and Internally Displaced Persons. Elman Suleymanov, who participated on a Disability Advocacy and Reform program, received a grant for a project that designed and produced a special guide for people with visual disabilities. This guide included a printed braille alphabet, audio books, and covered the topics of medical first-aid and instructions for behavioral responses to natural disasters for people with visual disabilities. The guide was circulated among people with visual disabilities and state libraries. Elman is visually impaired and felt great appreciation that he was able to participate on the Open World program despite his disability. He felt that his participation helped him grow as a professional and boosted his confidence.

A fellow extraordinary alumni from the Disability Advocacy and Reform program is Nihad Gulamzada. He is the CEO and Founder of the first inclusive theatre consisting of actors with disabilities in Azerbaijan and the Caucasus. In 2019, Nihad was able to gain government support and organize his productions in partnership with various ministries. Nihad partnered with fellow Open World alumnus Elman Suleymanov by handing out copies of his guide for people with visual disabilities to guests of the theater performances. Nihad is currently running for Parliament in the upcoming February 2020 parliamentary elections.

Belarus

In 2004, and from 2017-2019, the Center hosted 54 delegates from Belarus. The program has focused on fostering a stronger civil society, economic resilience, issues of good governance and

transparency, respect for human rights, and countering misinformation. Program themes have focused on healthcare, intellectual property rights, marketing, tourism, alternative energy, media, and entrepreneurship. The year 2020 marks four straight years of Open World programs with Belarus.

The Open World alumni community in Belarus is growing and becoming more active. In May 2019, Program Manager Matt Tucker traveled to Minsk to meet with alumni, embassy staff, and nominators from the public and private sectors. During a small alumni event held around the visit, fellow Open World alumni from different parts of the country and representing different professional fields, were able to meet, share experiences, and discuss ways of collaborating amongst themselves.

A delegate who participated in a recent media literacy program has already made plans to invite a professional speaker from her local program in Detroit, MI to visit Minsk and conduct a series of speaking events and outreach programs on media literacy at her institution, Press Club.

Estonia

From 2013 through 2019, the Center brought 26 delegates from the Estonian judiciary. These delegations were hosted by federal judges that were identified in cooperation with the International Judicial Relations Committee of the Judicial Conference of the United States. The Judicial Training Department of the Supreme Court of Estonia supported 90% of the cost of this programming. Federal district judges in Nevada, Maryland, Ohio, North Carolina, and Mississippi have hosted their Estonian counterparts. This year, in response to a request from a Member of Congress and due to the critical nature of the programming, the Center's program for Estonia will feature a delegation of six Cybersecurity professionals. The Center is working closely with the staff at the U.S. Embassy in Estonia to design this important and timely program.

Georgia

From 2007 through 2019, the Center hosted 746 delegates from Georgia. The Center's programming for Georgia is planned in close consultation with the U.S. Embassy in that country

and has focused on Responsive Governance, Social Inclusion, Rule of Law and Economic Development/Cultural Heritage.

As described in the Parliamentary Program section, the Center is collaborating with the Parliament of Georgia to cost-share several delegations of leading Parliamentary staffers. Through this initiative, the Parliament of Georgia will pay the airfares for all such delegations, and will provide the nominations/candidates for future planned Parliamentary delegations. The Chief Specialist of the Parliament's Department of International Relations, following a September 2019 Dobbs Ferry, NY-based program that featured a private lunch with the Chairman of the House Foreign Affairs Committee, reported that,

"The program was excellently arranged. Meetings were brilliant. All the interests that the delegates were expecting were met."

In mid-November 2019, Member of Parliament and Open World alumnus George Khatidze (Member of the Inter-Parliamentary Union, the E.U.-Georgia Parliamentary Association Committee, the Foreign Relations Committee, the Legal Issues Committee and the Permanent Parliamentary Council on Open Governance) traveled to Washington, D.C. and reported on the impact his 2017 Open World program had on him, on several meetings that he had with Open World delegations before their departure for U.S. programming, and with Open World hosts when they visited Georgia.

One area of programming that is producing extremely meaningful results is the work the Center is doing to support inclusion among different nationalities, religions and lifestyle choices in this very diverse country that has witnessed ethnic, religious and social unrest is a regular contributor and organizer of timely European-based activities on behalf of the Eastern Partnership Civil Society Forum, a unique multi-layered regional civil society platform aimed at promoting European integration and facilitating reforms and democratic transformation in the six Eastern Partnership countries – Armenia, Azerbaijan, Belarus, Georgia, Moldova and Ukraine. Another alumnus in this field recently finished a Fulbright Graduate Student Program in conflict transformation and then worked with the International Foundation for Electoral Systems (IFES) to design an approach for its new project to promote civic and political awareness among youth in minority regions. Another alumnus founded the organization "Regional Empowerment for Democracy" which is actively working to improve the participation of ethnic and remotely based

minorities in democratic processes, and recently one alumna participated in a program ran by the Konrad-Adenauer Stiftung program in Brussels aimed at preparing young citizens to have a better understanding of European Union practices, policies and ideals.

Finally, another alumna was recently named to Forbes' 2019 30 Under 30 Europe list for her outstanding tourism and wine company. She produces four varieties of wine that are all native to Georgia and she recently started exporting to the United States. Her current goal is add more acreage to her farmland and increase her production capacity.

Kazakhstan

From 2008-2019, the Center hosted 539 delegates from Kazakhstan. The Open World program has impacted participants from all over Kazakhstan and across a wide range of sectors, from Members of Parliament and Supreme Court Justices to local entrepreneurs and leaders of NGOs.

The Open World program in Kazakhstan focuses on promoting more effective, accountable, and transparent government institutions in all three branches of government, locally and federally, as well as building a stronger and more engaged civil society. Recent program themes have included: Members of Parliament, parliamentary staffers, judges, local legislators, and librarians. In 2020, the Center will continue working with parliamentary staffers, judges, and local legislators, while adding programs for English teachers and on NGO management.

The Open World alumni community in Kazakhstan has also been very active. Several Open World alumni have taken up leadership positions in regional alumni networks for past participants of U.S. government exchange programs. In 2019, the U.S. embassy funded 21 projects through the Alumni Small Grants program, four of those projects were from Open World alumni. One project focuses on conducting courses for minors at the Center for the Adaptation of Minors in Petropavlovsk. The courses include lectures on human rights and children's rights, media literacy and online safety, career counseling, and personal development. They also provide mentoring to participants and involve students in volunteering.

In 2015, one participant of the Open World program focused on entrepreneurship. After returning to Kazakhstan, he founded an NGO, which provides employment and job training for

people with disabilities. His tireless work in this field is now promoted all over Kazakhstan. Last year he was given an Alumni Small Grant to travel to the regions and share his experiences.

In 2010, another participant helped found a sister city partnership between Pavlodar and Madison, Wisconsin. Since then, he's been working closely with his U.S. counterparts on different issues between the two cities. He has organized 6 Kazakh delegations to travel to Wisconsin and hosted 4 American delegations through the Citizen-to-Citizen Diplomacy program he founded with his American partner. They also created a sister school partnership between a rural school from Pavlodar and a rural school from Wisconsin. They are proud that this partnership has been thriving for 10 years.

Kosovo

From 2014 through 2019, the Center hosted 158 delegates from Kosovo. The Open World program in Kosovo works to enhance transparency and reduce corruption with past and future programs focusing on Preventing and Combatting Corruption of Public Funds and a rule of law program focusing on corruption in economic-related crimes. We are excited to reinstate a program for Members of Parliament in 2020 to help these elected officials work to improve accountability. We hoped to bring a parliamentary delegation in 2019, but with the resignation of the prime minister, we had to move the delegation into early 2020. We adapt to situations in our countries and are able to move and add programs as need be.

Our two Open World delegations that traveled in 2019 are eager to adapt what they learned in the U.S. during the program to their communities in Kosovo. After traveling on a program focusing on Energy Independence-Integrating Renewable energy, one alumnus was so inspired during his time on the Open World program that he wants to write a policy report to implement policies he learned about during his meetings in Utah. This includes the idea of providing several electric car charging spots around Pristina and making the energy free of charge.

A delegation focusing on Economic Development-Community-led Tourism also showed interest in pursuing future partnerships and projects with their counterparts in Washington. Two alumni have begun an initiative to expand international tourism efforts to Kosovo. They used some new ideas he gained from the U.S. and motivated people to apply as volunteers for an International Festival of Medieval Arts and festival. They have initiated discussions on environmental issues

and the creation of a pedestrian zone in their city to create a tourist hotspot to increase economic development in the area.

Kyrgyzstan

From 2007 through 2019, the Center hosted 530 delegates from Kyrgyzstan. The Open World Program in Kyrgyzstan has made great strides in enhancing transparency and accountability in the legislative process. We bring at least one parliamentary delegation each year. A delegation of Kyrgyz Parliamentarians, while visiting their sister state of Montana, were presented with a copy of the Montana state constitution by the President of the Montana State Senate. A short time later when one of the Kyrgyz MPs found himself responsible for rewriting a portion of the Kyrgyz constitution on the judiciary, he drew on his experience and used the Montana constitution as a model.

Following Member of Parliament Elvira Surabaldieva's participation in the program, she returned home and with the additional knowledge and leadership skills that she gained was elected as the Chair of the Women's Forum in the summer of 2016. Traditionally this seat was taken by older women MPs. In addition to her regular law making responsibilities, Elvira relentlessly defends gender equality. She has convinced her male colleagues to support a law against domestic violence; she pushed for gender quotas for elected positions at the local level; and currently she is working on legislation against sexual harassment. Though Kyrgyzstan has made strides towards greater gender equality in recent years, the country continues to struggle with ingrained patriarchal attitudes. Seeking to raise awareness of the consequences of sexual harassment, Elvira partnered with USAID, her fellow women MPs, activists and celebrities to produce a short video featuring examples of harassment: in the workplace, online, and on the street. Public reaction to the anti-harassment video was overwhelmingly positive: the video went viral on Facebook and was uploaded onto the Forum's website. Currently, she is trying to get the bill through legislation before the October 2020 elections.

Moldova

From 2007-2019, the Center hosted 494 delegates from Moldova. The Open World program in Moldova has focused on parliamentary exchanges, rule of law, economic development, and

partnerships, all aimed at strengthening institutions, fighting corruption, countering misinformation, and developing civil society.

The outcome of the February 2019 parliamentary elections produced an unusual coalition government, and resulted in 57 new first time elected MPs out of the 101 members. The program for parliamentarians will continue the dialogue between Moldovan legislators and their counterparts in the U.S. Congress. The program not only reinforces effective and democratic governance, but also allows the two legislative bodies to discuss timely issues such as the importance of European integration, countering disinformation, and combating corruption. The judge program resumed in 2019, after not hosting judges in 2018 due to the annulment of the Chisinau Mayoral election results. This program pairs Moldovan judges with a U.S. federal judge host to share best practices in jurisprudence, ethics, and the importance of an independent judiciary, all of which are essential to justice sector reform in Moldova.

In 2020 the Center will expand program for Members of Parliament and parliamentary staffers, while also continuing to support the North Carolina-Moldova State Partnership program with a program focused on regional economic development and waste management.

The North Carolina-Moldova Partnership through Open World, has expanded programs in English language education, a librarian exchange, pharmacy school exchange, and most recently a nursing school exchange. With the help of the partnership, the medical university in Chisinau was able to create the first Bachelor of Science program in nursing. In May 2019, an Open World Program Manager travelled to Moldova with a delegation from North Carolina led by the North Carolina Secretary of State, Elaine Marshall.

Open World alumni in the legislative and judicial branches are working to implement many reforms across the country, both at the local and federal level. A recent MP, who participated on the program after being newly elected in the February 2019 parliamentary elections, was so inspired after a meeting with the Senate Ethics Committee that she took a copy of the ethics rules manual back to Moldova, made a speech about the program on the floor of the Moldovan Parliament, and is currently working to establish a subcommittee on ethics in parliament.

Mongolia

From 2011 to 2019, the Center hosted 123 delegates from Mongolia. The Open World program in Mongolia focuses on Parliamentary and Rule of Law exchanges. In 2019, the Center signed a new Memorandum of Understanding (MOU) with the Mongolian Prosecutor General's Office to host programs for Mongolian prosecutors. In addition to hosting programs for Members of Parliament, judges, and prosecutors, in 2020 the Center will also include a program for court administrative staff.

In September of 2019, a Member of the Judicial General Council of Mongolia (JGC), visited the U.S. to sign the 2020 MOU between the JGC and the Open World Leadership Center to continue our partnership to host programs for Mongolian Judges.

Alumni from Mongolia have made many achievements since participating in the program. For example, after being impressed by the transparency and openness of U.S. courts, delegates returned to Mongolia with new ideas on how to reform the court's interaction with the citizenry. Today, court decisions in Mongolia are public and the court offers multiple ways for citizens to observe trials. In addition, many delegates have been so impressed by the standard of ethics and accountability of their U.S. federal judge hosts that they returned home to become trainers among their peers on judicial ethics.

North Macedonia

In 2019, the Center hosted its first delegations of Members of Parliament and Judges from North Macedonia. To date, the Center has hosted 15 delegates from North Macedonia, including three parliamentarians in a 2014 joint delegation in cooperation with the House Democracy Partnership. The Open World program in North Macedonia is focused on strengthening the relationship between the North Macedonian Parliament and the U.S. Congress, as well as sharing the U.S. experience in constituent relations, oversight functions, and the importance of separation of powers in a democratic and transparent government. In addition, the judge program is aimed at strengthening the rule of law and supporting key judicial reforms.

The Parliamentary program took place in February not long after the country's name change and signing of the NATO accession protocol. During the program in Washington, the delegation had

the opportunity to meet with senior staff of the Senate Foreign Relations Committee to discuss the U.S. process of ratifying North Macedonia's NATO accession treaty. The delegation was also able to meet with six Members of Congress to discuss the importance of NATO and EU integration, and what remaining reforms need to take place. A few months after the program, one of the MPs was appointed Minister of Local Government.

The judges who participated on the program in 2019 were hosted in Oklahoma City, OK by U.S. Magistrate Judge Suzanne Mitchell. The judges returned home impressed and looking forward to implementing and sharing with their peers the experience gained on the program to advance North Macedonia's judicial independence, professional standards, and ethics. Judge Mitchell also accepted an invitation by the delegation to visit North Macedonia in December 2019 to jointly present professional development programs for judges and other justice officials.

Serbia

From 2012 through 2019, the Center hosted 532 delegates from Serbia. Our Open World program in Serbia aims to strengthen democracy and the legislative process, while also combating corruption. Our program also reinforces the Rule of Law sector by bringing judges working on domestic violence and judicial efficiency in criminal proceedings. Joining in on Serbia's fight against corruption, Open World alumna, a judge, will be leading a training through the International Criminal Investigative Training Assistance Program. This training will help to support Serbia's newly formed anti-corruption and economic crimes prosecutorial units and police units.

Another exemplary woman alumna from Serbia is the acting Secretary General of the European Movement in Serbia, and is responsible for the successful implementation of the "Share Your Knowledge: Become a Mentor" project, a unique mentorship program designed for women. The main goal of this project is to empower and enhance young women's capacities and skills by gathering expert leaders from different professions to share their knowledge and experiences with young women with similar interests.

An Open World alumnus from 2013 was granted \$19,894 from U.S. Embassy Belgrade for her "Women Entrepreneurship Start-Up Accelerator" project taking place from September 2019 – March 2020. She launched the first accelerator for women entrepreneurs in Serbia with the goal

to provide a complex set of services and a platform for learning, sharing, networking and access to venture capital funds. Participants will be educated in developing business ideas, business idea marketing, business incubation and business acceleration, with a goal of generating at least 5 business ideas which will be presented in front of potential investors.

Tajikistan

From 2011-2019, the Center hosted 541 delegates from Tajikistan. This year the Open World program in Tajikistan will continue working with the Tajik legislature, while also hosting programs for government managers, higher education reform, and supporting women entrepreneurs. These programs are aimed at promoting more effective, accountable and transparent institutions, as well as investing in Tajikistan's human capital, ailing education system, and the untapped potential of women, who are afforded far fewer opportunities than men.

Open World alumni in Tajikistan are extremely active, and are constantly working on new projects while also sharing their Open World experience with others. In 2019, the Embassy approved 9 Open World alumni projects for grants, which accounts for 33% of the total approved project proposals. Recently, the Alumni Outreach Assistant for Open World traveled to Tajikistan for an Open World alumni conference and met alumni that are working on projects they implemented after traveling to the U.S. on the program. The conference was attended by many alumni, as well as staff from the U.S. Embassy.

An Open World alumna from 2019 is one of the most successful women leaders in Tajikistan. In 2013, she established her own Public Organization "IDEA" that gathers a team of experts to provide women with the necessary skills and information they need to find proper jobs, expand their businesses, and find their place in society. After her time on the Open World program, she felt more confident in her role as a woman business leader. She met her American counterparts that inspired her to implement more large-scale projects back in Tajikistan. In 2019, she implemented 3 projects: a 21-day leadership and entrepreneurship development project, a collaboration between her organization and the Embassy of Great Britain, and a partnership with the European Bank for Reconstruction and Development focusing on female entrepreneurs.

One alumnus, who was hosted in Sacramento in 2016 on a volunteerism theme, was so inspired by what he saw in the U.S. that he created the “Open Hut” project when he returned back to Tajikistan. From a very rural city in Tajikistan, the alumnus realized more needed to be done to help children with disabilities. With an alumni grant, he was able to create a project which provides lawyers, medicine, and therapy for children with disabilities and their parents. He is working to combat the stigma that surrounds children with disabilities and their families in rural and very religious areas of Tajikistan and change the mentality that children with disabilities should be “hidden” from the rest of the public. His goal for the future is to continue working with children with disabilities and create recreational clubs that they can participate in.

Turkmenistan

From 2008-2017, the Center hosted 197 delegates from Turkmenistan. Open World is planning to resume programming in Turkmenistan in 2020, after not hosting programs from Turkmenistan the past two years. This year’s programs will focus on sustainable tourism in rural environments and on sports for youth with disabilities, which will also support the sister city relationship between Albuquerque and Ashgabat. These programs will help to increase Turkmenistan’s integration into regional and global economic markets, as well as increase commercial ties between the United States and Turkmenistan, overall improving economic stability and the quality of life.

Uzbekistan

From 2003-2019, the Center hosted 185 delegates from Uzbekistan. The Open World program in Uzbekistan is focused on supporting the robust reform efforts of the new government and new President Shavkat Mirziyoyev, primarily in the areas of parliamentary governance, rule of law, and economic development. In 2020 we will expand our work with the Uzbek Parliament by hosting two delegates on Members of Parliament and one group of parliamentary staffers. In addition, we will field programs focused on e-governance, transparency and governmental accountability, as well as agriculture in the modern market.

Last year’s delegation of Members of Parliament from Uzbekistan were able to give Members of Congress firsthand actionable information about key developments in Uzbekistan and an update on the progress of comprehensive reforms initiated by President Mirziyoyev. This group of MPs

was also particularly interested in how Congress serves their constituents and was able to return home with a wealth of new ideas. As the new president has called on the Uzbek Parliament to be more accountable, these interactions and sharing of best practices has inspired many of the new and less experienced MPs to return home inspired to make change and implement reforms. Open World alumni in Uzbekistan include senators, mayors, the Deputy Minister of Investment and Foreign Trade, and the Deputy Minister of Innovative Development. Furthermore, in spring 2019 the current Chairman of the Senate met with Center leadership in Washington and subsequently nominated a delegation of women leaders to participate in the program.

Summary of the Fiscal Year 2021 Budget Request

The Open World Leadership Center's Budget Request of \$5.9 million for fiscal year 2021 reflects **no increase** over fiscal year 2020 enacted funding. The current funding level will enable the Center to continue its proven mission of hosting young political, civic, and cultural leaders from Russia; maintain its important program with Ukraine while initiating a new one for the newly elected Rada; and continue key programs with select countries approved by the Board of Trustees and in consultation with this Committee. The Board of Trustees believes that maintaining a robust grassroots-based presence in Russia is necessary and important for future U.S.-Russia relations. Programs in expansion countries will account for a larger percentage of hosting than in the past. Program hosting capacity in fiscal year 2021 at the requested level remains far below the limit of 3,000 set in the Center's authorizing legislation.

The budget request maintains hosting and other programmatic activities at a level of approximately 900-1000 total participants. Actual allocations of participant slots to individual countries will be based on the Center's Board of Trustees recommendations and consultations with the Appropriations Committee, Members of Congress, and U.S. Embassies in Open World program countries. Generally, each year's hosting is split one-third for Russia, one-third for Ukraine, and one-third for all remaining countries.

Major categories of requested funding are:

Projected Funds Available	\$	6,758,596	
Salaries and Benefits	\$	-986,900	(split: part prog/part admin costs)
Contracts, interagency agreements	\$	-2,952,300	(100% program)

Grants/Other direct program costs	\$	-2,687,515	(100% program)
Administrative/Office costs	\$	<u>-97,935</u>	<u>(100% administrative)</u>
	\$	-6,599,629²	

Projected Balance \$ 33,946

Since the Center began working with our U.S. Embassies directly in 13 countries, this is the minimum program staff level required to manage approximately 1000 participants in a program year. The Center's staff coordinate all aspects of the delegation from initial nominations, selection and vetting; approving the program agenda in Washington, D.C.; and planning and monitoring activities in the host community.

The Center seeks every opportunity to capture any possible reductions or savings in costs. For example, the Center works closely with grantees to find volunteer hosting organizations and requires cost-sharing in every grant proposal. We also conduct periodic reviews with our logistical contractor to find the best airfares, to keep staff costs at a minimum, and to find savings wherever possible.

The Center spends its appropriation in two categories: Direct Program Costs and Administration Costs. Direct Program Costs includes a logistical coordinator contract; grants to host organizations across the United States; Memoranda of Agreements with U.S. embassies in Open World countries; and about 65% of the salary and benefits of the Center's staff. The logistical services contract with a Washington-based NGO is the single largest expenditure in the Center. This contractor coordinates the delegate nomination and vetting process and is tasked with obtaining visas and other travel documents; arranging and purchasing airfare and accommodations; planning and executing the two-day D.C. orientation, and coordinating with grantees and placing delegates in American host cities, among other duties. Since the Center began working directly with embassies abroad in 2013, the contract cost decreased significantly while the embassy agreements increased. Grants/Other Hosting Costs refer to national and local hosting organizations (such as Rotary Club, Friendship Force International, and community colleges) that plan and execute an 8-day local program for each delegation.

Under Administration Costs, most of the salaries/benefits of the Executive Director and the Deputy Executive Director are included in this category. It also includes an interagency

² The amount over \$5.9 million shown here will be covered by unanticipated interagency transfers and other offsets.

agreement with the Library of Congress for infrastructure services; small contracts for professional services; postage, telephone, cell phones, and office supplies and materials. The Center benefits from lower administrative costs due to its physical location in the Library of Congress. Finally, agreements with other agencies for infrastructure services or for printing, webhosting, or graphic design are included here.

Below is a Summary Table:

Summary of Costs by Category

TOTAL PROJECTED AVAILABLE	\$ 6,758,596
Contracts/Embassy/Other Agreements	2,952,300
Grants/Other Program Costs	2,687,515
Salary/Benefits	623,250
Subtotal Less Direct Program Costs	\$ 6,263,065
Salary/Benefits	363,650
All Other Operating Expenses	97,935
Subtotal Less Administrative Costs	\$ 461,585
TOTAL PROJECTED COSTS	\$ 6,724,650
PROJECTED BALANCE	33,946
Overhead Rate	6.9%

The Open World program has been carefully honed through the years based on an ongoing and consistent review of the programming. Bearing in mind that quality will not be compromised, the Center continues the trend of reducing unit cost per appropriated dollar; of adjusting the strategies for nominations to bring legislators as a significant portion of our delegates; of working with many host organizations in all fifty states to make the programs highly relevant; and of fostering partnerships and projects involving alumni and hosts.

Major support for the Open World program comes from by the dedicated and enthusiastic American citizens who voluntarily host program participants in their homes and communities. These volunteers organize social events, community-wide activities, housing, and some meals for one week. Without this in-kind support, the cost of hosting the Open World program's 29,000 participants would have been substantially higher. In 2019, the hosting of Open World participants in homes throughout the United States along with cost shares offered by our embassies and logistical contractor (an NGO) saved the Center an estimated \$2 million in hosting costs alone.

Conclusion

Before closing this justification for the funding of the Open World Leadership Center, it is important to talk about continuing participation of Russian and Ukrainian delegates once their program is over. Russia continues to play a critical role in events in the region, in Europe, and has extended its reach far beyond its boundaries. Ukraine is entering its sixth year of conflict with the Russian Federation and its sixth year of sporadic, though effective, reforms. While relations with and within these countries remain tense, there looms the issue of how to present America – its values, its intentions, and its desire to uphold the sovereignty of nations and to help settle conflicts.

Kremlin control of media within Russian borders, and the very effective disinformation campaign in neighboring states, has brought the intended results – strong internal support for the Russian president and for his policies; a resurgent pride in Russia's expanded role on the world stage; and a reassertion of its spheres of influence. A few years ago, the United States had more than 300 active exchange programs with Russia. Today there are just a few, and only one, the Open World program, has the means to reach throughout this vast country and to attract rising leaders who might otherwise eschew a U.S.-sponsored program.

Our Russian, Ukrainian, and other delegates, who stay with American families for their intense ten-day program, carry back an understanding of a people in the United States who share many of the same aspirations they have: a prosperous, peaceful country; hope that their children will fulfill their potential; and a desire to understand one another. With at least a third of the delegates under the age of 30, and recognized as leaders among their peers, these Open World program participants can explain to their broad range of contacts that the United States is not as portrayed in the mass media, but nuanced as is their own country.

The Open World program, in some ways, is the last hope for cooperation with Russia and is a lifeline to democratic processes for Ukraine. As a resource for Congress and the nation, we may now be the most important program in Russia. Our alumni there, 20,000 strong, fill important positions in all regions, crossing many classes and professions of Russia. In Ukrainian and Eurasian society, we have bolstered relations with Congress and supported critical reform efforts. Congress is right to be proud of what they funded and supported.

Advancing democracy and strengthening civil society worldwide is a strategic long-term investment in our nation's security and a crucial source of our international influence and strength. The Open World Leadership Center is committed to these efforts recognizing the possibility of uncertainty and setbacks, and understanding that progress requires our unwavering dedication to enduring principles and goals.

Russia and Ukraine are keys to the future of the region. By supporting reformers and Euro-integrationists in Ukraine, by supporting those engaged in countering disinformation, and by helping committed officials use the laws on decentralization, health, and educational reform succeed, we in a small way help balance the overwhelming advantage Russia enjoys at this moment. Our intertwined interests and rivalries with Russia will not fade, and we need to be smart enough to engage the post-Putin generation for they will soon enough influence whether their country continues its role as a destabilizing force or works with the community of nations in Europe and Eurasia. To that end, Congressional leadership in supporting the Open World program is paramount to the Center's continued success.

National Grantees/Local Host Organizations/Host Judges by State

ALABAMA

Local Host Organizations

American Foreign Policy Council – Birmingham
 American Foreign Policy Council – Huntsville
 Birmingham International Center
 Birmingham Sister Cities Commission
 Birmingham Southern College
 Friendship Force – Birmingham
 Friendship Force – Huntsville
 Friendship Force – Montgomery
 Global Ties Alabama (statewide)
 Rotary Club – Greater Huntsville
 Rotary Club – Montgomery
 United Methodist Church – Denton Road
 U.S. District Court for the District of Alabama, 11th Circuit
 University of Alabama Huntsville, Office of International
 Programs and Services

Federal and State Host Judges

Karon O. Bowdre, *District Judge* – Birmingham
 Mark E. Fuller, *District Judge*
 Myron H. Thompson, *Magistrate Judge* – Montgomery
 Susan Walker, *Magistrate Judge* – Montgomery

ALASKA

National Grantee

Alaska State Legislature – Juneau

Local Host Organizations

Alaska/Khabarovsk Rule of Law Partnership – Anchorage
 Anchorage International Rotary Club
 Anchorage Sister Cities Commission
 City of Homer
 Pacific Environment
 Prince William Sound Regional Citizens Advisory Council
 – Valdez
 Rotary Club – Anchorage International
 Rotary Club – Homer Kachemak Bay
 Rotary Club – Juneau
 Rotary Club – Kendallville
 Rotary Club – Ketchikan, First City
 Rotary Club – Soldotna

United Methodist Church – Fairbanks
U.S. District Court for the District of Alaska

Federal and State Host Judges

Harry Branson, *Magistrate Judge* – Anchorage

ARIZONA

Local Host Organizations

American Association of University Women, East Mesa Branch
Arizona Supreme Court
Corporate Education Consulting, Inc. – Phoenix
Empower International – Phoenix
Flagstaff Sister Cities Organization
Friendship Force – Central Arizona
Friendship Force – Tucson
Friendship Force – Phoenix
International Training and Consulting, Inc. – Tucson
People for World Change
People to People International, Greater Phoenix Chapter
Pima Community College
Rotary Club – Fountain Hills
Rotary Club – Kingman Route 66
Rotary Club – Lake Havasu
Rotary Club – Phoenix
Rotary Club – Sun City West
Rotary Club – Tucson
Rotary Club – Westminster 7:10
Rotary Club – Yuma
Rotary District 5510
Southern Arizona Council for International Visitors – Tucson
Tucson-Almaty Sister Cities Committee
Tucson Council for International Visitors
United Methodist Church – Kingman
United Methodist Church – Lake Havasu
United Methodist Church – Phoenix
U.S. Bankruptcy Court for the District of Arizona – Phoenix
U.S. District Court for the District of Arizona – Phoenix

Federal and State Host Judges

Eileen Hollowell, *Bankruptcy Judge* – Tucson
John Roll, *District Judge* – Tucson
Murray Snow, *District Judge* – Chandler

ARKANSAS

Local Host Organizations

American Association of University Women, North Little Rock Chapter
 Arkansas River Valley Regional Library – Dardanelle
 Arkansas State University Mountain Home
 Garland County Community College – Hot Springs
 Global Ties Arkansas (statewide)
 The Jonesboro Sun
 League of Women Voters – Washington County
 Rotary Club – Bentonville
 Rotary Club – Bella Vista Noon
 Rotary Club – Little Rock
 Sebastian County Bar Association – Fort Smith
 United Methodist Church – Conway
 United Methodist Church – DeWitt
 United Methodist Church – Fort Smith
 United Methodist Church – Little Rock
 United Methodist Church – Mena
 United Methodist Church – Searcy
 University of Arkansas School of Law – Fayetteville

Federal and State Host Judges

Robert T. Dawson, *Bankruptcy Judge* – El Dorado
 Richard D. Taylor, *Bankruptcy Judge* – Little Rock
 Susan Webber Wright, *District Judge* – Little Rock

CALIFORNIA

National Grantees

Brubeck Institute at the University of the Pacific – Stockton
 Center for Safe Energy – Berkeley
 Earth Island Institute – San Francisco
 Independent Television Service (ITVS) – San Francisco
 Pacific Environment – San Francisco
 Sonoma City Opera
 Tahoe-Baikal Institute – South Lake Tahoe

Local Host Organizations

49'er Breakfast Rotary Club – Nevada City
 Alushta-Santa Cruz Sister County Support
 Azerbaijani-American Council – Irvine
 American Foreign Policy Council – Fresno
 American Foreign Policy Council – Huntington Beach
 Brubeck Institute at the University of the Pacific – Stockton
 Center for Safe Energy – Berkeley

City of Livermore
 City of Santa Cruz Sister Cities Committee
 Congress of Russian Americans, Stanford University – Palo Alto
 County of Santa Clara/Moscow Sister County Commission – San Jose
 Earth Island Institute: Baikal Watch – San Francisco
 Episcopal Church – Berkeley
 Estate Financial, Inc. – Santa Barbara
 Friendship Force – Kern County
 Friendship Force – Sacramento
 Greater L.A. Chapter of People to People – Granada Hills
 Hartnell College Foundation – Salinas
 HiveQuest – San Francisco
 Independent Television Service (ITVS) – San Francisco
 International Visitors Council – San Diego
 International Visitors Council – Los Angeles
 International Relations Council of Riverside
 Kidsave International – Culver City
 League of Women Voters – Claremont
 League of Women Voters – Los Angeles
 League of Women Voters – Piedmont
 League of Women Voters – San Luis Obispo
 Long Beach/Sochi Sister City Association
 Los Angeles-Saint Petersburg Sister City Committee
 Modesto Sister Cities International
 National Council of International Visitors – Santa Ana
 National Peace Foundation Escondido Chapter
 New Bridge Management – Turlock
 Northern California World Trade Center – Sacramento
 Oakland/Nakhodka Sister City Association
 Pacific Environment – San Francisco
 Peace Links – Berkeley
 Peace Links – San Francisco
 People to People International – Greater Los Angeles Chapter
 Rotary Club – Cloverdale
 Rotary Club – Clovis*
 Rotary Club – Concord
 Rotary Club – Dominguez-Carson
 Rotary Club – Del Amo
 Rotary Club – Del Mar
 Rotary Club – East Fresno
 Rotary Club – Hollywood
 Rotary Club – La Verne
 Rotary Club – Lamorinda Sunrise
 Rotary Club – Livermore
 Rotary Club – Los Altos
 Rotary Club – Los Angeles – Wilshire
 Rotary Club – Manhattan Beach

Rotary Club – Mariposa
 Rotary Club – Merced Sunrise
 Rotary Club – Mid San Fernando Valley
 Rotary Club – Nevada City
 Rotary Club – Oakland
 Rotary Club – Palm Springs
 Rotary Club – Palos Verdes
 Rotary Club – Pasadena
 Rotary Club – Paso Robles
 Rotary Club – Rancho Cucamonga
 Rotary Club – Rancho San Diego/Spring Valley
 Rotary Club – Redlands
 Rotary Club – Redding
 Rotary Club – San Pedro
 Rotary Club – Santa Barbara
 Rotary Club – Santa Cruz
 Rotary Club – Stockton East
 Rotary Club – Temecula
 Rotary Club – the High Desert
 Rotary Club – Turlock
 Rotary Club – Walnut Creek
 Rotary Club – Westlake Village
 Rotary District 5320 – Orange County
 Russian American Business and Arts Council – Los Angeles
 Sacramento City College, International Studies Program
 Sacramento Council for International Visitors
 San Diego Citizen Diplomacy Council
 San Diego-Vladivostok Sister City Society
 Santa Barbara Cinco de Mayo Festival Committee
 Santa Clara-Moscow Sister County Commission
 Santa Cruz Sister Cities
 Sebastopol World Friends, Chyhyryn Committee
 Sonoma City Opera
 Stafford Institute – San Francisco
 Tahoe-Baikal Institute – South Lake Tahoe
 United Methodist Church – La Mesa
 United Methodist Church – Los Angeles
 United Methodist Church – Ontario
 United Methodist Church – Sanger
 U.S. Bankruptcy Court for the Eastern District of California
 U.S. Bankruptcy Court for the Northern District of California
 U.S. Court of Appeals for the Ninth Circuit
 U.S. District Court for the Central District of California
 U.S. West Coast-Russian Far East
 University of California Los Angeles Department of Information
 Studies
 University of the Pacific McGeorge School of Law – Sacramento

Federal and State Host Judges

Louise Adler, *Bankruptcy Judge* – San Diego
 Peter Bowie, *Bankruptcy Judge* – San Diego
 Samuel Bufford, *Bankruptcy Judge* – Los Angeles
 Marilyn L. Huff, *District Judge* – Los Angeles
 Christopher M. Klein, *Bankruptcy Judge* – Sacramento
 Ronald S.W. Lew, *District Judge* – Los Angeles
 Consuelo B. Marshall, *District Judge* – Los Angeles
 Margaret McKeown, *Circuit Judge* – San Diego
 Michael McManus, *Bankruptcy Judge* – Sacramento
 Louisa Porter, *Magistrate Judge* – San Diego
 Ronald H. Sargis, *Bankruptcy Judge* – Sacramento
 William Shubb, *District Judge* – Sacramento
 Dickran Tevrizian, *District Judge* – Los Angeles

COLORADO

National Grantees

International Institute of Education/Rocky Mountain Center

Local Host Organizations

Arvada Sister Cities, Inc. Kyzylorda Committee
 Boulder Chorale
 Boulder County Public Health
 Boulder-Dushanbe Sister Cities
 Colorado Springs Sister Cities International
 CROSSwalk People Helpers – Arvada
 Fremont County and Valdai Sister City Association
 Friendship Force – Greater Denver
 Friendship Force – Northern Colorado
 League of Women Voters – Boulder County
 Research Management Consultants, Inc. – Golden
 Rotary Club – Aspen
 Rotary Club – Centennial
 Rotary Club – Denver
 Rotary Club – the Denver Tech Center
 Rotary Club – Evergreen
 Rotary Club – Ft. Collins
 Rotary Club – Golden
 Rotary Club – Longmont
 Rotary Club – Pagosa Springs
 Rotary Club – Parker
 Rotary Club – Smoky Hill
 Rotary Club – Vail
 Rotary Club – Westminster 7:10
 Telluride Film Festival
 United Methodist Church – Towner

U.S. Bankruptcy Court for the Northern District of Colorado
 U.S. Court of Appeals for the Tenth Circuit
 WorldDenver

Federal and State Host Judges

Sidney B. Brooks, *Bankruptcy Judge* – Denver
 David M. Ebel, *Circuit Judge* – Denver
 Timothy M. Tymkovich, *Circuit Judge* – Denver

CONNECTICUT

Local Host Organizations

Connecticut-Pskov Rule of Law Partnership Committee
 – New Haven
 Friendship Force Connecticut – Hartford
 International Visitors Committee of Connecticut – Westport
 League of Women Voters – Canton
 National Council for International Visitors – Westport
 Rotary Club – Colchester
 Rotary Club – Devon
 Rotary Club – New Haven
 Southern Connecticut Friendship Force – Branford
 State of Connecticut Judicial Branch Court Support Services
 Division – Wethersfield
 University of Connecticut Global Training and Development
 Institute – Storrs
 University of New Haven
 Yale School of Drama
 Yale University School of Medicine

Federal and State Host Judges

Peter Dorsey, *District Judge* – New Haven
 John Walker, *Circuit Judge* – New Haven
 Robin Tabora, *Clerk of Court* – New Haven

DELAWARE

Local Host Organizations

Citizen Diplomacy International of Philadelphia
 Delaware Justice of the Peace Courts
 National Council for International Visitors – Wilmington
 United Methodist Church – Milford
 University of Delaware Library – Newark
 University of Delaware, Institute for Global Studies – Newark
 Vital Voices Global Partnership

Federal and State Host Judges

Sue Robinson, *District Judge* – Wilmington

DISTRICT OF COLUMBIA**National Grantees**

American Foreign Policy Council
 American International Health Alliance
 American University – Women and Politics Institute
 Center for Democracy
 Coalition for Intellectual Property Rights
 Freedom House
 Graduate School
 International Academy for Freedom of Religion and Belief
 International Republican Institute
 ISAR Resources for Environmental Activists
 League of Women Voters
 Meridian International Center
 Global Ties
 National Democratic Institute for International Affairs
 National Peace Foundation
 Peace Links
 Thelonious Monk Institute of Jazz
 U.S.-Ukraine Foundation
 Vital Voices Global Partnership

Local Host Organizations

American University
 Center for Democracy
 Center for Law and Social Policy
 Chemonics, Inc
 George Washington University, Community Legal Clinics
 Global Arts Network
 Hillwood Estate Museum and Gardens
 Historic Preservation Office, District of Columbia Office of Planning
 Initiative for Russian Culture at American University
 International Republican Institute
 ISAR: Resources for Environmental Activists
 League of Women Voters of the United States
 Library of Congress Preservation Directorate
 National Council for International Visitors
 National Council for the Traditional Arts
 National Democratic Institute for International Affairs
 National Peace Foundation – Urban Schools Program
 Rotary Club – Washington, DC
 Valbin's Center for International Programs

Vital Voices Global Partnership
Wider Opportunities for Women
Women in Politics Institute, American University

FLORIDA

National Grantees

GlobalJAX – Jacksonville
Stetson University School of Law – Gulfport

Local Host Organizations

American Association of University Women – Sarasota
American Foreign Policy Council – Melbourne
American Foreign Policy Council – Sarasota
Eckerd College – St. Petersburg
Eleventh Judicial Circuit of Florida
Enter-Met Thermochemical Engineers, Inc.
Florida Suncoast Friendship Force Club – Tampa Bay
Friendship Force – Greater Orlando
Friendship Force – Sarasota
Friendship Force of Tallahassee
Friendship Force of The Villages
Global Ties Miami
GlobalJAX – Jacksonville
Gulf Coast Citizen Diplomacy Council – Pensacola
International Council – Central Florida, Inc. – Orlando
International Resource Center – Jacksonville
Jacksonville Sister Cities Association
Lakeland Sister Cities International, Inc.
League of Women Voters – Broward County
Manatee County Sheriff's Office
Miami Dade College
Rotary Club – Brandon South
Rotary Club – Cantonment
Rotary Club – Coral Springs
Rotary Club – John Knox Village
Rotary Club – Largo
Rotary Club – New Tampa
Rotary Club – Panama City
Rotary Club – Pensacola
Rotary Club – Sarasota
Rotary Club – Seminole County South
Rotary Club – Tallahassee
Rotary Club – Tampa/Tampa Armature Works
Rotary Club – Weston
Rotary District 6970 – Jacksonville
Sister City Program – Gainesville, Inc.

Sister Cities Program – St. Petersburg
 St. Petersburg College
 St. Petersburg International Folk Fair Society, Inc.
 Stetson University College of Law – Gulfport
 Tallahassee Community College
 Tallahassee-Krasnodar Sister City Program
 Tampa Law Center
 U.S. Bankruptcy Court for the Southern District of Florida
 U.S. Court of Appeals for the Eleventh Circuit
 U.S. District Court for the Middle District of Florida
 United Methodist Church – Fort Walton Beach
 United Methodist Church – Fruitland
 United Methodist Church – Jacksonville
 United Methodist Church – Lighthouse Point
 United Methodist Church – Orlando
 United Methodist Church – Palm City
 United Methodist Church – Pensacola
 United Methodist Church – Sarasota
 United Methodist Church – Titusville
 University of Miami School of Law
 University of South Florida Health Science Center – Tampa

Federal and State Host Judges

David Baker, *Magistrate Judge* – Orlando
 Rosemary Barkett, *District Judge* – Miami
 A. Jay Cristol, *Bankruptcy Judge* – Miami
 Patricia Fawsett, *District Judge* – Orlando
 James Glazebrook, *Magistrate Judge* – Orlando
 Alan S. Gold, *District Judge* – Miami
 Elizabeth Jenkins, *Magistrate Judge* – Tampa
 Elizabeth Kovachevich, *District Judge* – Tampa
 Stephan P. Mickle, *District Judge* – Gainesville
 Harvey Schlesinger, *District Judge* – Jacksonville

GEORGIA

National Grantees

Claus M. Halle Institute for Global Learning at Emory University
 – Atlanta
 Friendship Force International – Atlanta
 Future of Russia Foundation
 GA2GE Foundation (Georgia to Georgia Foundation)
 Intercultural Services

Local Host Organizations

Addiction Recovery Institute

Alston and Bird – Atlanta
 Atlanta-Tbilisi Sister City Committee
 Blue Ridge Environmental Defense League – Augusta
 Citizen Diplomat Corps
 Columbus-Zugdidi Sister Cities
 Community Service Board – Dekalb
 Emory University School of Law
 Episcopal Church – Columbus
 Friendship Force – Decatur
 Friendship Force – Greater Atlanta
 Friendship Force – Hartwell
 Friendship Force – North Georgia
 Georgia Council for International Visitors – Atlanta
 GA2GE Foundation (Georgia to Georgia Foundation) – Atlanta
 Greater Savannah International Alliance
 Hall, Booth, Smith & Slover, P.C. – Atlanta
 Juvenile Court of Clayton County
 League of Women Voters of Atlanta – Fulton County
 Northminster Presbyterian Church – Roswell
 Office of International Affairs, Emory University – Atlanta
 Peace Links – Cleveland
 Rotary Club – Atlanta
 Rotary Club – Duluth
 Rotary Club – Gwinnett County
 Rotary District 6920 – Savannah
 Toccoa/Stephens County Chamber of Commerce
 United Methodist Church – August
 United Methodist Church – Saint Simons Island
 World Health Organization Collaborating Center in Reproductive
 Health, Emory University School of Medicine – Atlanta

Federal and State Host Judges

William Duffey, *District Judge* – Atlanta
 Owen Forrester, *District Judge* – Atlanta

HAWAII

Local Host Organizations

International Peace and Friendship
 Kapi'olani Community College – Honolulu
 National Peace Foundation – Honolulu
 Pacific and Asian Affairs Council – Honolulu
 Rotary Club – Honolulu
 Rotary Club – Hilo*
 U.S. District Court for the District of Hawaii
 University of Hawaii Maui College

Federal and State Host Judges

David Ezra, *District Judge* – Honolulu

IDAHO

National Grantee

Lionel Hampton Center at the University of Idaho – Moscow

Local Host Organizations

Boise State University, International Programs

Idaho Council for International Visitors – Boise

University of Idaho International Jazz Collections – Moscow

Lionel Hampton International Jazz Festival, University of Idaho – Moscow

Rotary Club – Boise Metro

Rotary Club – Boise Sunshine

Rotary Club – Idaho Falls

Federal and State Host Judges

B. Lynn Winmill, *District Judge* – Boise

ILLINOIS

National Grantees

Columbia College Chicago

Rotary International – Evanston

Vladimir/Canterbury Sister City Association – Normal

Local Host Organizations

American Association of University Women – Carbondale

Chicago Jazz Ensemble, Columbia College

Chicago Sister Cities International

CHP International – Oak Park

Citizen Bridges International – Chicago

College of Du Page – Glen Ellyn

Columbia College Chicago

Council of International Programs – Chicago

Episcopal Church – Peoria

Friendship Force – Northern Illinois

Geneseo International Thanksgiving Fellowship Program

Heartland Alliance International – Chicago

Illinois Central College – East Peoria

International Cultural Educational Association – Chicago

International Republican Institute – Glenview

International Visitors Center – Chicago

Kyiv Mohyla Foundation of America

League of Women Voters – Lake Forest
 League of Women Voters – McLean County
 League of Women Voters – Oak Park
 Lithuanian American Community, Inc. – Chicago
 Otto and Associates – Park Ridge
 Peoria Area World Affairs Council
 Rock River Valley International Fellowship Committee
 Rotary Club – Carbondale
 Rotary Club – Chicago
 Rotary Club of Oak Park-River Forest*
 Rotary Club – Springfield
 Rotary District 6450 – Chicago
 Rotary District 6640 – Hoffman Estates
 Russian, East European, and Eurasian Center, University of Illinois
 at Urbana-Champaign
 Springfield Commission on International Visitors
 Springfield Convention and Visitors Bureau
 Supporters of Civil Society in Russia, Inc. – Chicago
 U.S. District Court for the Northern District of Illinois
 U.S. Court of Appeals for the Seventh Circuit
 U.S. District Court for the Central District of Illinois
 United Methodist Church – Bolingbrook
 United Methodist Church – Lewistown
 United Methodist Church – Orion
 United Methodist Church – Quincy
 United Methodist Church – Wheaton
 Vladimir/Canterbury Sister City Association – Bloomington–
 Normal
 WorldChicago

Federal and State Host Judges

Marvin Aspen, *District Judge* – Chicago
 Collins T. Fitzpatrick, *Circuit Executive* – Chicago
 Phil Gilbert, *District Judge* – Benton
 David Herndon, *District Judge* – East St. Louis
 Charles Kocoras, *District Judge* – Chicago
 George Marovich, *District Judge* – Chicago
 Michael McCuskey, *District Judge* – Lacon
 Michael Mihm, *District Judge* – Peoria
 Richard Mills, *District Judge* – Springfield
 James Moran, *District Judge* – Chicago
 James Shadid, *District Judge* – Peoria
 Diane Wood, *Circuit Judge* – Chicago

INDIANA**National Grantee**

Charitable Resource Foundation – New Albany

Local Host Organizations

American Foreign Policy Council – Fort Wayne
 Beyond Borders Global Connections
 Elkhart Sister Cities Association
 Indiana Government Center South – Indianapolis
 Indiana Judicial Center – Indianapolis
 Indiana Supreme Court – Indianapolis
 Indiana University School of Public and Environmental Affairs –
 Bloomington
 International Center – Indianapolis
 Marion County Law Library
 National Peace Foundation – Indianapolis
 Office of the Indiana Attorney General – Indianapolis
 Peace Links – Elkhart
 Resource Foundation, Inc. – Greenwood
 Rotary Club – Bedford Rotary Club – Berne
 Rotary Club – Bloomington
 Rotary Club – Carmel
 Rotary Club – Columbus
 Rotary Club – Fishers
 Rotary Club – Indianapolis
 Rotary Club – Jeffersonville
 Rotary Club – Kendallville
 Rotary Club – Lafayette
 Rotary Club – Muncie Sunrise
 Rotary Club – Terra Haute
 Rotary Club – Vincennes
 Sigma Theta Tau International Nursing Honor Society –
 Indianapolis
 Sister Cities of Richmond
 United Methodist Church – Bloomington
 United Methodist Church – Indianapolis
 United Methodist Church – South Bend
 United Religious Community – South Bend*
 U.S. Court of Appeals for the Seventh Circuit
 Welcome Michiana – South Bend

Federal and State Host Judges

Michael Kanne, *District Judge* – Fort Wayne

IOWA**National Grantees**

Iowa Sister States – Des Moines
 United States District for the Southern District of Iowa
 University of Iowa International Writing Program – Iowa City

Local Host Organizations

Community Sister City Organization – Osage
 Council Bluffs Tobolsk Sister City Association
 Council for International Visitors to Iowa Cities
 Creating Great Places – Coon Rapids
 Dubuque Chamber of Commerce
 Friendship Force – Central Iowa
 Friendship Force – Cedar Rapids/Iowa City
 Friendship Force – Greater Des Moines
 Friendship Force – Quad Cities
 Genesis Medical Center – Davenport
 Grinnell Renaissance
 International Training, Education and Business Services and
 Associates, LLC (ITEBS & Associates, LLC) –
 International Writing Program at the University of Iowa – Iowa
 City
 Iowa Central Community College – Fort Dodge
 Iowa Council for International Understanding – Des Moines
 Iowa International Center – Des Moines
 Iowa Sister States – Des Moines
 League of Women Voters – Ames
 Marshalltown Medical and Surgical Center
 Marshalltown Sister Cities
 Mary Greely Medical Center – Ames
 Mercy Medical Center – Des Moines
 Mt. Pleasant Public Library
 Muscatine Sister Cities, Inc.
 Myrtue Memorial Hospital – Harlan
 National Peace Foundation – Cedar Rapids
 OPEN (Organization Promoting Everlasting Neighbors) – Newton
 People to People International, Oscaloosa Chapter
 Rotary Club – Des Moines
 Rotary Club – Iowa City
 Siouxland Community Health Center – Sioux City
 Skiff Medical Center – Newton
 Southeastern Community College – West Burlington
 St. Luke's Hospital – Sioux City
 U.S. District Court for the Southern District of Iowa
 United Methodist Church – Buckingham
 United Methodist Church – Davenport
 United Methodist Church – Des Moines

United Methodist Church – Harlan
 United Methodist Church – Shenandoah
 United Methodist Church – Van Horne
 United Methodist Church – Waukee
 Van Buren County Hospital – Keosauqua

Federal and State Host Judges

James E. Gritzner, *Senior District Judge* – Des Moines
 Robert Pratt, Sr. *District Judge* – Cedar Rapids
 Larry Eisenhower, former *State Court of Appeals Judge* – Des Moines

KANSAS

Local Host Organizations

Dodge City Public Library
 Emporia State University
 Friendship Force of Kansas – Wichita
 Global Ties – Kansas City
 Honors Leadership Academy, Neosho County Community College
 – Chanute
 International Visitors Council – Greater Kansas City
 Johnson County Library – Overland Park
 League of Women Voters – Wichita Metro
 People to People International – Greater Kansas City
 Rotary Club – Abilene
 Rotary Club – Andover
 Rotary Club – El Dorado
 Rotary Club – Hays
 Rotary Club – Larned
 Rotary Club – Lawrence
 Rotary Club – Hutchinson
 Rotary Club – Lenexa
 Rotary Club – Overland Park
 Rotary Club – Leawood
 Rotary Club – Shawnee
 Rotary Club – Topeka
 Rotary Club – West Wichita
 Rotary Club – Winfield
 United Methodist Church – Beloit
 United Methodist Church – Manhattan
 United Methodist Church – Pratt
 United Methodist Church – Sawyer
 United Methodist Church – Stockton
 United Methodist Church – Topeka
 United Methodist Church – Washington

University of Kansas Center for Russian, East European &
Eurasian Studies – Lawrence
U.S. District Court for the District of Kansas

Federal and State Host Judges

Monti L. Belot, *District Judge* – Kansas City
John Lungstrum, *District Judge* – Kansas City
John Thomas Marten, *District Judge* – Kansas City
Kathryn Vratil, *District Judge* – Kansas City

KENTUCKY

National Grantees

Louisville International Cultural Center
University of Louisville School of Music

Local Host Organizations

American Foreign Policy Council – Louisville
Bluegrass Community and Technical College
Episcopal Church – Richmond
Friendship Force – Western Kentucky
Kentucky Community and Technical College System
Kentucky World Trade Center
Louisville International Cultural Center
National Peace Foundation – Louisville
National Peace Foundation – Maysville
Rotary Club – Covington*
Rotary Club – Frankfort
Rotary Club – Franklin
Rotary Club – Hurstbourne Sunrise
Sister Cities of Louisville, Inc
University of Kentucky School of Public Health
University of Louisville School of Music
U.S. District Court for the Western District of Kentucky
World Affairs Council of Kentucky & Southern Indiana
World Affairs Council of Cincinnati and Northern Kentucky*

Federal and State Host Judges

James Moyer, *Magistrate Judge*
John Rogers, *Circuit Judge*
Thomas Russell, *District Judge*
Charles Simpson, *District Judge*

LOUISIANA

Local Host Organizations

American Foreign Policy Council – Metairie
 Contemporary Arts Center – New Orleans
 Council for International Visitors – Greater New Orleans
 Friendship Force – Baton Rouge
 Louisiana State University, Department of History and Social
 Sciences – Baton Rouge
 National Peace Foundation – Baton Rouge
 New Orleans Citizen Diplomacy Council
 Rotary Club – Harahan
 Rotary Club – Metairie
 Rotary Club – Shreveport
 Shreveport Bar Association
 Supreme Court of Louisiana – Baton Rouge
 Tulane University – New Orleans
 Turkmenistan Youth and Civic Values Foundation – Shreveport
 United Methodist Church – Lake Charles
 United Methodist Church – Natchitoches
 United Methodist Church – Shreveport
 United Methodist Church – Slidell
 U.S. District Court for the Middle District of Louisiana
 U.S. District Court for the Western District of Louisiana

Federal and State Host Judges

James Brady, Sr., *District Judge* – Baton Rouge
 S. Maurice Hicks, *District Judge* – Shreveport
 Mark Hornsby, *U.S. Magistrate Judge* – Shreveport
 Roy Payne, *Magistrate Judge* – Shreveport
 Donald Walter, *District Judge* – Shreveport

MAINE

National Grantee

Archangel Committee of Greater Portland

Local Host Organizations

American Association of University Women – Caribou
 American Foreign Policy Council – Portland
 Center for Global Opportunities, Southern Maine Technical
 College – South Portland
 Greater Portland Russian Sister City Project (Archangel
 Committee) – Portland
 Holocaust Human Rights Center of Maine – Augusta
 Kotlas-Waterville Area Sister City Connection
 Maine Supreme Judicial Court – Portland

Maine/Arkhangelsk Rule of Law Partnership Committee
 – Portland
 Rotary Club – Portland
 U.S. District Court for the District of Maine
 University of Maine School of Law – Portland
 University of Southern Maine, American–Caucasus Workgroup –
 Portland
 Verill & Dana, LLP – Portland
 World Affairs Council of Maine – Portland

Federal and State Host Judges

Margaret Kravchuck, *Magistrate Judge* – Bangor

MARYLAND

National Grantee

Foundation for International Arts and Education – Bethesda
 Maryland Leningrad Sister State Committee of Sister States of
 Maryland, Inc. – Annapolis

Local Host Organizations

American Association of University Women – Rockville
 American Foreign Policy Council – Frederick
 American Foreign Policy Council – Greenbelt
 Baltimore–Odessa Sister City Committee
 Center for Democracy and the Interpretation of Civil Society,
 St. Mary's College of Maryland
 Center for International Programs
 Community College of Baltimore County – Baltimore
 Cultural Vistas – Columbia
 Director of International Affairs/Mayor's Office, City of Baltimore
 Ferguson Foundation – Accokeek
 Frederick Community College
 Friends of Chernobyl Centers, U.S. (FOCCUS) – Bethesda
 Harford Community College – Bel Air
 Howard Community College – Columbia
 International Education Associates – Bethesda
 League of Women Voters – Baltimore City
 League of Women Voters – Baltimore County
 League of Women Voters – Calvert
 Maryland/IROLC Steering Committee – Annapolis
 Maryland/Leningrad Oblast Rule of Law Partnership – Annapolis
 Montgomery County Sister Cities
 National Council for the Traditional Arts – Silver Spring
 National Peace Foundation – Potomac
 Prince George's County Circuit Court, Seventh Judicial Circuit
 Rotary Club – Annapolis

Rotary Club – Bethesda-Chevy Chase
 Rotary Club – Frederick
 Rotary Club – Parole
 Rotary Club – Towsontowne
 Rotary District 7620 – Mount Airy
 Peace Links – Sandy Spring
 Peace Links – Silver Spring
 United Methodist Church – Bethesda
 United Methodist Church – Friendship
 United Methodist Church – Fulton
 United Methodist Church – Rockville
 University of Maryland Baltimore County – Baltimore
 U.S. District Court for the District of Maryland
 Westminster Branch, Carroll County Public Library – Westminster
 World Trade Center Institute – Baltimore

Federal and State Host Judges

Richard Bennett, *District Judge* – Baltimore
 Andre Davis, *District Judge* – Baltimore
 Cathy Serrette, *County Circuit Court Judge* – Upper Marlboro

MASSACHUSETTS

National Grantee

University of Massachusetts–Amherst Institute of Global Health
 Cambridge-Yerevan Sister City Association (CYSCA)

Local Host Organizations

American Foreign Policy Council – Holyoke
 Berkshire Community College
 Bristol Community College
 Cairdes Foundation – Plymouth
 Cambridge-Yerevan Sister City Association (CYSCA)
 Cape Cod Community College
 International Center of Worcester
 Jacob's Pillow Dance – Becket
 Kanfer Legal LLC – Boston
 Massachusetts RAROLC Rule of Law Committee – Boston
 Massachusetts Superior Court – Boston
 Massachusetts Supreme Judicial Court – Boston
 Massachusetts Trial Court, Probate and Family Court Department
 – Boston
 Massachusetts/Tomsk Rule of Law Partnership Committee –
 Boston
 Mount Holyoke College – South Hadley
 Peace Links – Framingham

Peace Links – Medford
 Rotary Club – Scituate
 Rotary Club – West Springfield
 Rotary International District 7950 – Cape Cod
 The Altai Project
 U.S. Bankruptcy Court for the District of Massachusetts –
 Worcester
 U.S. Court of Appeals for the First Circuit – Boston
 U.S. District Court for the District of Massachusetts – Boston
 University of Massachusetts Medical School – Worcester
 University of Massachusetts Amherst Institute for Global Health
 WorldBoston

Federal and State Host Judges

Frank Bailey, *Circuit Judge* – Boston
 Marianne Bowler, *Magistrate Judge* – Boston
 Robert Cordy, *State Supreme Court Justice* – Boston
 Joan Feeney, *Bankruptcy Judge* – Boston
 Richard Stearns, *District Judge* – Boston
 Mark Wolf, *District Judge* – Boston

MICHIGAN

Local Host Organizations

American Association of University Women – Dearborn,
 American Foreign Policy Council – Detroit
 American Foreign Policy Council – Grand Rapids
 Andrews University, Berrien Springs
 Central Michigan University – Mount Pleasant
 Colleagues International, Inc, Kalamazoo
 Detroit Metropolitan Bar Association, Detroit
 Eastern Michigan University School of Social Work - Ypsilanti
 Ellen Thompson Women's Health Center - Ypsilanti
 Friendship Force – Greater Lansing
 Global Minnesota – Minneapolis
 Global Ties Detroit
 Grand Rapids Public Schools - Grand Rapids
 Hillsdale Community Library - Hillsdale
 Interlochen Center for the Arts, Education Department
 - Interlochen
 International Sister Cities Flint
 International Visitors Council – Metropolitan Detroit
 Kalamazoo-Pushkin Partnership Committee
 Kalamazoo Russian Cultural Association
 Lithuanian-American Community, Inc.
 National Democratic Institute for International Affairs
 People to People International – Midland Chapter

Pittsfield Charter Township
 Portage Lake District Library - Houghton
 Rotary Club of Adrian Morning – Adrian*
 Rotary Club – Detroit*
 Rotary Club – Downtown Grand Rapids
 Rotary Club – Livingston Sunrise
 Rotary Club – Kalamazoo Sunrise
 Rotary Club – Lynchburg
 Rotary Club –Marquette Breakfast
 Rotary District 6360 - Charlotte
 Sister Cities of Flint
 Ukrainian National Women’s League of America Detroit
 U.S. Attorney’s Office for the Eastern District of Michigan
 - Detroit
 U.S. District Court for the Eastern District of Michigan - Detroit
 United Methodist Church – Ewart
 United Methodist Church – Grand Rapids
 United Methodist Church – Gwinn
 United Methodist Church – Houghton
 United Methodist Church – Kalamazoo
 United Methodist Church – Kentwood
 United Methodist Church – Plymouth
 United Methodist Church – Port Huron
 University of Michigan, Ann Arbor
 Washtenaw County Prosecutor’s Office

Federal and State Host Judges

Paul A. Chamberlin, Ret. Circuit Judge - Mount Pleasant*
 Virginia Morgan, *Magistrate Judge* - Ann Arbor
 Gordon Quist, *District Judge* - Grand Rapids
 Gerald Rosen, *District Judge* - Detroit

MINNESOTA

National Grantee

Connect US-Russia

Local Host Organizations

AIHA – Duluth
 AIHA – Minneapolis
 American Foreign Policy Council – Rochester
 Alliance for Democracy – Minnesota
 City of Lino Lakes
 Connect/US-Russia
 Duluth/Petrozavodsk Committee, Duluth Sister Cities International
 Friends of Houston Nature Center
 Friendship Force – Minnesota/Twin Cities

Hedburg Public Library
 International Visitors Center – Jackson
 La Crosse Dubna Friendship Association
 Lake Superior Medical Society
 League of Women Voters – Duluth
 League of Women Voters – Edina
 League of Women Voters – Minneapolis
 League of Women Voters – St. Paul
 Martin County Library System
 Men as Peacemakers (Duluth)
 Minnesota AIDS Project - St. Paul
 Minnesota Alliance of Peacemakers - Minneapolis
 Minnesota International Center - Minneapolis
 Minnesota State Bar Association, Minneapolis
 Minnesota State University - Mankato
 Minnesota State University – Moorhead
 Minnesota Supreme Court, St. Paul
 North Country Health Services
 North Country Regional Hospital
 Plymouth Church Global Connections Committee, Minneapolis
 Rainy River Community College, International Falls
 Rotary Club – Arden/Shoreview
 Rotary Club – Hibbing
 Rotary Club – Minneapolis
 Rotary Club – North St. Paul – Maplewood – Oakdale
 Rotary Club – Winona*
 Rotary Club – White Bear Lake
 Rural AIDS Action Network (RAAN), St. Cloud
 Saint Paul - Ramsey County Public Health
 Sanford Health of Northern Minnesota, Alexandria
 United Methodist Church – Owatonna
 U.S. Bankruptcy Court for the District of Minnesota - Minneapolis
 U.S. District Court for the District of Minnesota - Minneapolis
 Women in Business - Minneapolis
 World Services – Minneapolis

Federal and State Host Judges

Michael Davis, *District Judge* - Minneapolis
 Nancy Dreher, *Bankruptcy Judge* - Minneapolis
 Jeanne Graham, *Magistrate Judge* - St. Paul
 Jeffrey Keyes, *Magistrate Judge*, Minneapolis
 Gregory Kishel, *Bankruptcy Judge* - St. Paul
 Paul A. Magnuson, *District Judge* - St. Paul
 John Tunheim, *District Judge* - Minneapolis

MISSISSIPPI

National Grantees

Mississippi Consortium for International Development
Mississippi State University
University of Mississippi/PEN

Local Host Organizations

American Foreign Policy Council – Tupelo
International Visitors Center – Jackson
Legacy International Development Group - Madison
Metier Professionals - Jackson
Mississippi Consortium for International Development
Mississippi State University, Mississippi State
National Peace Foundation – Oxford
Rotary Club – Hattiesburg
Rotary Club – Jackson
Rotary Club – Moss Point
Rotary Club – Tupelo
United Methodist Church – Greenwood
United Methodist Church – Jackson
University of Mississippi, Mississippi State

Federal and State Host Judges

Jerry David, *Federal Magistrate Judge*, Jackson
Leslie H. Southwick, *Federal Circuit Judge (5th Circuit)* – Jackson

MISSOURI

National Grantee

Supporters of Civil Society in Russia, Inc

Local Host Organizations

All Species Project, Kansas City
City of Columbia, Public Communications Office
Friendship Force – Missouri–St. Louis
Greater St. Louis – Samara Sister City Committee
Harry S. Truman School of Public Policy Affairs - Columbia
Global Ties Kansas City
League of Women Voters – Kansas City, Mo., Jackson, Clay - and
Platte Counties
League of Women Voters – Sedalia–Pettis County
League of Women Voters – Southwest Missouri
Lincoln University of Missouri, Jefferson City
People to People International – Greater Kansas City Chapter
Rotary Club of Jefferson City Breakfast – Jefferson*
Rotary Club – Kansas City Plaza

Rotary Club – Lee’s Summit Sunrise
 Rotary Club – Webster Groves
 Rotary District 6060, St. Louis
 St. Louis Sister Cities
 St. Louis – Samara Sister Cities Committee
 Supporters of Civil Society in Russia, Inc., St. Louis
 United Methodist Church – Carthage
 United Methodist Church – Hillsboro
 United Methodist Church – Lambert
 United Methodist Church – Lee’s Summit
 United Methodist Church – St. Louis
 World Affairs Council – St. Louis

Federal and State Host Judges

Catherine Perry, *District Judge* - St. Louis
 Jerry Venters, *Bankruptcy Judge*, Kansas City

MONTANA

Local Host Organizations

Advisory Commission on International Relationships for City of
 Great Falls
 Friendship Force – Billings
 Friendship Force – Central Montana
 National Peace Foundation – Missoula
 Peace Links – Missoula
 Rotary Club – Bentonville and Bella Vista Noon
 WorldMontana - Helena

Federal and State Host Judges

Robert Holter, *Magistrate Judge* – Butte
 Donald Molloy, *District Judge* – Missoula

NEBRASKA

Local Host Organizations

American Foreign Policy Council – Lincoln
 Arts Industry Coordinator/Nebraska Arts Council
 Friendship Force – Eastern Nebraska
 Friendship Force – Greater Omaha
 Friendship Force – Lincoln
 Friendship Force – Smithtown
 Grand Island Area Council for International Visitors
 Heartland Family Service – Omaha
 Kiwanis Club – Omaha
 Omaha Sister Cities Association

Rotary Club – East Lincoln
 Rotary Club – Lincoln Downtown
 Rotary Club – Lincoln South
 Rotary Club – Lincoln Sunrise
 Rotary Club – Omaha
 United Methodist Church – Harvard
 U.S. District Court for the District of Nebraska, Omaha
 University of Nebraska Medical Center College of Nursing
 – Omaha

Federal and State Host Judges

Joseph E. Bataillon, *District Judge* – Omaha
 Laurie Smith Camp, *District Judge* – Omaha
 Lyle E. Strom, *District Judge* – Omaha

NEVADA

National Grantee

Jewish Community Council

Local Host Organizations

Friendship Force of Las Vegas
 Friendship Force of Reno-Tahoe
 International Visitors Council – Northern Nevada
 Northern Nevada International Center
 Rotary Club – Elko
 Rotary Club – Elko Desert Sunrise
 Rotary Club – Fremont
 Rotary Club – Las Vegas
 Rotary Club – Reno
 Rotary Club – Reno Central
 Rotary Club – Southern Nevada
 Rotary Club – Tahoe-Douglas
 Rotary District 5300 – Las Vegas
 U.S. District Court for the District of Nevada – Las Vegas

Federal and State Host Judges

Valerie Cooke, *Magistrate Judge* – Reno
 Lloyd D. George, *District Judge* – Las Vegas
 Howard McKibben, Sr. *District Judge* – Las Vegas

NEW HAMPSHIRE

Local Host Organizations

Friends Forever International – Durham

Friendship Force – New Hampshire Seacoast
 International Cultural Education Association
 New Hampshire Supreme Court, Office of the General Counsel
 – Concord
 New Hampshire/Vologda Rule of Law Partnership Committee
 – Concord
 Portsmouth/Severodvinsk Connection
 Public Defender, New Hampshire Public Defender's Office
 Rotary Club – Bow
 World Affairs Council – New Hampshire – Manchester

NEW JERSEY

Local Host Organizations

American Foreign Policy Council – Cherry Hill
 Camden County Library – Atco
 City of New Brunswick
 Cross Cultural International Institute, New Milford
 Friendship Force – Southern New Jersey
 Global Education Center at Montclair State University
 League of Women Voters – Montclair
 Montclair Rotary Club
 Monmouth University Institute for Global Understanding and
 Department of Political Science and Sociology
 Ocean County Library
 Phillipsburg Free Public Library
 Princeton University, Department of Slavic Languages and
 Literatures – Princeton
 Rider University – Lawrenceville
 Rotary Clubs of Branchburg and Princeton
 Rotary Club of Branchville
 Rotary District 7470 – Morristown
 Rutgers University School of Law – Newark
 Rutgers University School of Communication and Information,
 Brunswick
 United Methodist Church – Hackettstown
 U.S. District Court for the District of New Jersey – Brunswick

Federal and State Host Judges

John Bissell, *District Judge*
 Marie Renee Bumb, *District Judge*

NEW MEXICO

Local Host Organizations

Albuquerque/Ashgabat Sister Cities Committee

Bridges to Tajikistan (Albuquerque)
 Council on International Relations – Santa Fe
 Empower International (Phoenix)
 Episcopal Church – Santa Fe
 Global One to One – Albuquerque
 Global Ties Albuquerque
 Los Alamos and Sarov Sister Cities Initiative
 People to People International – New Mexico Chapter
 Rotary Club – Las Cruces
 Sandia National Laboratory – Albuquerque
 Santa Fe Council on International Relations
 SRIC Southwest Research and Information Center – Albuquerque
 Thomas Branigan Memorial Library – Las Cruces
 U.S. Bankruptcy Court for the District of New Mexico
 – Albuquerque
 U.S. District Court for the District of New Mexico – Albuquerque
 United Methodist Church – Los Alamos

Federal and State Host Judges

James. O Browning, District Judge – Albuquerque*
 Carmen Garza, *Magistrate Judge* – Albuquerque
 Leslie C. Smith, *Magistrate Judge* – Albuquerque
 James S. Starzynski, *Bankruptcy Judge* – Albuquerque

NEW YORK

National Grantees

Appeal of Conscience
 CEC ArtsLink
 Lincoln Center Theater Directors' Lab
 Linkages of Rochester

Local Host Organizations

American Association of University Women – Greater Rochester
 Area
 Albany Law School, Albany
 Albany-Tula Alliance
 American Foreign Policy Council – Albany
 American Dance Festival – New York City
 Brooklyn College Library – Brooklyn
 Buffalo-Niagara World Connect
 Buffalo-Tyler Sister Cities, Inc
 CDS International, Inc. – New York City
 CEC ArtsLink – New York City
 Cornell University – Ithaca
 Criminal Court for the Seventh Judicial District – Rochester
 Doctors of the World-USA – New York City

Episcopal Church – East Aurora – Aurora
 Friendship Force of Hudson Valley
 Friendship Force – Long Island
 Friendship Force – Smithtown
 Greater Rochester Area Branch of American Association of
 University Women
 Hofstra University School of Law – Hempstead
 International Institute of Buffalo
 International Center of the Capital Region – Albany
 International Center of Syracuse
 International Film Seminars, Inc. – New York City
 Irondequoit-Poltava Sister Cities – Rochester
 League of Women Voters – Oneonta Area
 League of Women Voters – Rochester Metropolitan Area
 League of Women Voters – Saratoga County
 Lincoln Center Directors' Lab – New York City
 Linkages of Rochester, Inc.
 Multicultural Resource Center – Binghamton
 Mercy College, Dobbs Ferry
 New York State Unified Court System, Office of Court
 Administration
 Newcomb Central School District
 Nixon Peabody, LLP – New York City
 Peace Links – Interlaken
 Public Relations Kingsborough Community College – Brooklyn
 Rochester Global Connections
 Rotary Club District 7120 – New York City
 Rotary Club District 7190 – New York City
 Rotary Club District 7230 – New York City
 Rotary Club – Fayetteville-Manlius
 Rotary Club – Grand Island
 Rotary Club – Liberty
 Rotary Club – Locust Valley
 Rotary Club – Monticello
 Rotary Club – Riverdale
 Rotary Club – Shenendehowa
 Rotary Club – Shawangunk Ridge
 Saratoga Springs Public Library
 Saratoga Springs/Chekhov Sister City International, Inc
 State University of New York Plattsburgh
 Thelonious Monk Institute of Jazz
 Town of Johnsbury Library
 United Methodist Church – Bellport
 United Methodist Church – Davenport
 United Methodist Church – Rochester
 United Methodist Church – Wassaia
 United Methodist Church – Willsboro
 U.S. District Court for the Eastern District of New York

U.S. District Court for the Northern District of New York
 U.S. District Court for the Western District of New York
 U.S. Court of International Trade – New York City
 Yeshiva University School of Law – New York City
 Western New York/Novgorod Rule of Law Partnership Committee

Federal and State Host Judges

Jonathan Feldman, *Magistrate Judge*, Rochester
 Frank LaBuda, *County Court Judge and Surrogate* – Monticello
 George Lowe, *Magistrate Judge*
 Norman Mordue, *District Judge* – Syracuse
 Frederick Scullin, *District Judge* – Syracuse
 Joanna Seybert, *District Judge* – New York City
 Charles Sifton, *District Judge* – New York City
 Randolph Treece, *Magistrate Judge* – Syracuse
 Evan Wallach, *Circuit Judge* – New York City

NORTH CAROLINA

National Grantees

Dewitt Wallace Center for Media and Democracy at Duke
 University
 FHI 360 (formerly Academy of Educational Development of
 Washington, DC)
 Guilford Rotary Club*
 International Focus (formerly International Affairs Council of
 North Carolina/Research Triangle)
 International House of Charlotte
 North Carolina Secretary of State's Office
 University of North Carolina/PEN – Chapel Hill

Local Host Organizations

Addiction Recovery Institute – Tyron
 American Dance Festival – Durham
 American Foreign Policy Council – Asheville
 Asheville Sister Cities, Inc.
 Blue Ridge Environmental Defense League, Glendale Springs
 The Brown Angel Center – Charlotte
 Charlotte Sister Cities
 Charlotte Council for International Visitors
 DeWitt Wallace Center for Communications and Journalism –
 Duke University, Durham
 Durham-Kostroma Sister Cities Association
 Friendship Force – Central North Carolina
 Friendship Force – Charlotte
 Friendship Force – Greensboro
 Friendship Force – Raleigh

Friendship Force – Western North Carolina
 Global House – Sanford
 Health Equity Inc. – Chapel Hill
 Hendersonville Sister Cities, Inc. – Hendersonville
 Institute for Global Collaboration, Forsyth Technical Community
 College – Winston-Salem
 International Focus (formerly International Affairs Council of
 North Carolina/Research Triangle) – Raleigh
 International House of Charlotte
 League of Women Voters – Charlotte-Mecklenberg
 League of Women Voters – Henderson County
 National Peace Foundation – Asheville
 North Carolina-Moldova Bilateral Partnership – Raleigh
 People for World Change
 Rotary Club – Charlotte East
 Rotary Club – Franklin
 Rotary Club – Greensboro
 Rotary Club – Guilford
 Rotary Club – Hickory
 Rotary Club – Marion
 Rotary Club – Statesville
 Rotary Club of Summit
 Rotary District 7670, Asheville
 SCIAN-Institute for Scientific Policy Analysis – Raleigh
 Sister Cities of Durham
 Stafford Institute (formerly U.S.-Russia Mayor to Mayor Program)
 United Methodist Church – Clayton
 United Methodist Church – Greensboro
 United Methodist Church – Lexington
 United Methodist Church – Rutherfordton
 United Methodist Church – Wilkesboro
 U.S. Court of Appeals for the Fourth Circuit
 University of North Carolina at Chapel Hill, Department of Slavic
 Languages and Literatures
 Western North Carolina Peacekeepers – Rocky Mountain

Federal and State Host Judges

Allyson Kay Duncan, *Circuit Judge* – Charlotte
 Paul Newby, *Supreme Court Justice* – Raleigh

NORTH DAKOTA

Local Host Organizations

Bismarck State College, Bismarck
 Dacotah Territory International Visitor Program, Rapid City
 Minot Area Council for International Visitors – Minot
 North Dakota State College of Science – Wahpeton

Peace Lutheran and Our Savior's Lutheran Churches – Moorhead

Federal and State Host Judges

Myron Bright, *Circuit Judge* – Fargo

Karen Klein, *Magistrate Judge* – Fargo

OHIO

National Grantee

Council of International Programs USA (CIP/USA)

Margaret Mead Film and Video Festival

Future of Russia Foundation

Local Host Organizations

American Foreign Policy Council – Cleveland

American Foreign Policy Council – Columbus

American Foreign Policy Council – Lakewood

Athens Center for Film and Video – Athens

Cincinnati-Kharkiv Sister City Partnership

Cincinnati-Ukraine Partnership

Cleveland Council on World Affairs

Cleveland International Program

Cleveland State University College of Law

Columbus International Programs

Council of International Programs USA (CIP/USA) – Cleveland

Friendship Force – Dayton

Friendship Force – Greater Cincinnati

Friendship Force – Northeast Ohio

Great Lakes Consortium for International Training and
Development (Toledo)

Global Cincinnati

Global Ties Akron

Greater Cincinnati World Affairs Council

International Visitors Council – Columbus

International Visitors Council – Greater Cincinnati

League of Women Voters – Clermont County

League of Women Voters – Columbus

League of Women Voters – the Greater Dayton Area

Ohio Employee Ownership Center – Kent

Rotary Club – Dublin-Worthington

Rotary Club – Boardman

Rotary Club – Cincinnati

Rotary Club – Grove City*

Rotary Club – Wooster

Rotary District 6600 – Toledo

Sister Cities Committee, Toledo Sister Cities International

Supreme Court of Ohio

United Methodist Church – Akron
 United Methodist Church – Chesterhill
 United Methodist Church – Cincinnati
 United Methodist Church – Lisbon
 United Methodist Church – Wapakoneta
 U.S. District Court for the Northern District of Ohio – Akron
 U.S. District Court for the Southern District of Ohio – Akron
 Wright State University – Fairborn

Federal and State Host Judges

Christopher Boyko, *District Judge* – Cleveland
 Paul Matia, *District Judge* – Cleveland
 Dan A. Polster, *District Judge* – Cleveland
 Edmund A. Sargus, *District Judge* – Columbus
 Jack Zouhary, *District Judge* – Toledo

OKLAHOMA

National Grantees

Rotary Club – Oklahoma City

Local Host Organizations

American Association of University Women – Tahlequah
 City of Enid
 Friendship Force – Oklahoma
 Habitat for Humanity – Tahlequah
 International Visitors Committee – Oklahoma City
 League of Women Voters – Bartlesville
 National Peace Foundation – Oklahoma City
 Oklahoma Supreme Court, Oklahoma City
 Redlands Community College – El Reno
 Rotary Club – Guymon
 Rotary Club – Oklahoma City
 Rotary Club – Tahlequah
 Rotary District 6110 – Tulsa
 Southeastern Public Library System of Oklahoma
 Tulsa Global Alliance
 United Methodist Church – Oklahoma City
 U.S. Environmental Protection Agency Office of Environmental
 Justice and Tribal Affairs – Tulsa
 U.S. District Court for the Eastern District of Oklahoma
 U.S. District Court for the Western District of Oklahoma
 University of Oklahoma International Programs Center – Norman

Federal and State Host Judges

Stephen Friot, *District Judge* – Oklahoma City

Robert Henry, former *District Judge* – Oklahoma City
 Vicki Miles-LaGrange, *District Judge* – Oklahoma City
 Ronald White, *District Judge* – Oklahoma City
 Suzanne Mitchell, *Federal Magistrate Judge* – Oklahoma City

OREGON

Local Host Organizations

American Association of University Women – Beaverton Branch
 Blooming Hill Vineyard – Cornelius
 Clackamas Community College – Oregon City
 Corvallis Sister Cities Association
 Eugene-Irkutsk Sister City Committee – Eugene
 Grants Pass Sister City Committee – Grants Pass
 League of Women Voters – Lane County
 League of Women Voters – Portland
 League of Women Voters – Marion-Polk Counties
 Oregon Justice Resource Center, Portland
 Oregon Law Commission – Salem
 Oregon/Sakhalin Rule of Law Partnership Committee
 Roseburg Area Zonta Club – Roseburg
 Rotary Club – Beaverton
 Rotary Club – Eugene Emerald
 Rotary Club – Kendallville
 Rotary Club – Lewis River
 Rotary Club – Wallowa County
 Tigard Breakfast Rotary Club – Beaverton
 Umpqua Community College (Roseburg)
 U.S. Court of Appeals for the Ninth Circuit – Portland
 U.S. District Court for the District of Oregon – Portland
 World Affairs Council – Oregon – Portland

Federal and State Host Judges

Michael R. Hogan, *District Judge* – Portland
 Diarmuid F. O'Scannlain, *Circuit Judge* – Portland

PENNSYLVANIA

National Grantees

Keystone Human Services International
 Magee Womancare International
 Russian Ministry Network of the Episcopal Church
 West Chester University Poetry Center

Local Host Organizations

Allegheny College

Alvernia College, Nursing Department (NRC 010) – Reading
 American Institute of Finance and Technology – Bryn Mawr
 American Foreign Policy Council – Lancaster
 American Foreign Policy Council – Paoli
 American Foreign Policy Council – Philadelphia
 American Foreign Policy Council – Pittsburgh
 Citizen Diplomacy International of Philadelphia
 Department of Slavic Languages and Literatures at the University
 of Pennsylvania
 Friendship Force – Greater Harrisburg
 Global Pittsburgh
 Keystone Human Services International
 Magee Womancare International – Pittsburg
 Media Sunrises Rotary Club, Pittsburg
 Mid-Atlantic Russia Business Council – Philadelphia
 Northampton Community College – Bethlehem
 Overseas Strategic Consulting, Ltd – Philadelphia
 Pacific Environment
 Peace Links – Harrisburg
 PEHT – Pittsburgh
 Pennsylvania College of Technology – Williamsport
 Pennsylvania Commission on Crime and Delinquency
 – Harrisburg
 Pennsylvania State University College of Agricultural Sciences,
 International Programs – University Park
 Rotary Club – Altoona
 Rotary Club – Blue Bell
 Rotary Club – Emmaus
 Rotary Club – Greenville
 Rotary Club – Kittaning*
 Rotary Club – Meadville
 Rotary Club – Redding
 Rotary Club – York*
 State College Rotary Evening Club – State College
 Ukrainian Cultural and Humanitarian Institute
 Ukrainian Federation of America – Carnegie
 U.S. Attorney's Office for the Eastern District of Pennsylvania
 – Philadelphia
 U.S. Bankruptcy Court for the Eastern District of Pennsylvania
 – Philadelphia
 U.S. District Court for the Eastern District of Pennsylvania
 – Philadelphia
 U.S. District Court for the Eastern District of Pennsylvania
 Historical Society – Philadelphia
 U.S. District Court for the Western District of Pennsylvania
 – Allentown
 West Chester University Poetry Center – West Chester
 West Reading-Wyomissing Rotary Club

World Affairs Council – Harrisburg
World Affairs Council – Greater Reading

Federal and State Host Judges

Harvey Bartle, III, *District Judge* – Philadelphia
Richard Fehling, *Bankruptcy Judge* – Philadelphia
D. Brooks Smith, *Circuit Judge* – University Park

RHODE ISLAND

Local Host Organizations

Brown University Library – Providence
Cape Cod and the Islands and Rhode Island Rotary Club
Roger Williams University, Justice System Training & Research
Institute, School of Justice Studies – Bristol
Rotary Club – Newport
Rotary Club – Scituate
Rotary International District 7950 – Providence
U.S. District Court for the District of Rhode Island – Providence
World Affairs Council – Rhode Island – Providence

Federal and State Host Judges

Ernest Torres, *District Judge* – Providence

SOUTH CAROLINA

Local Host Organizations

American Association of University Women – Aiken Branch
Clemson University
Charleston Council for International Visitors – Charleston
Friendship Force – Florence
League of Women Voters – Bluffton Area
National District Attorneys Association
National Peace Foundation – Columbia
Palmetto Council for International Visitors – Columbia
Richland School District Two – Columbia
Rotary Club – Columbia
Rotary Club – Hilton Head Island
Rotary Club – East Spartanburg
Soonch Inc.
United Methodist Church – Spartanburg
Walker Institute for International and Area Studies, University of
South Carolina – Columbia

SOUTH DAKOTA

Local Host Organizations

Dacotah Territory International Visitor Program
 Sioux Falls Downtown Rotary
 Sioux Falls Promise, Greater Sioux Falls Alliance for Youth
 South Dakota World Affairs Council
 U.S. District Court for the District of South Dakota

Federal and State Host Judges

Charles B. Kornmann, *District Judge* – Aberdeen
 Karen Schreier, *District Judge* – Sioux Falls

TENNESSEE

National Grantees

Nashville Health Care Council – Nashville
 Oak Ridge Sister City Support Organization – Oak Ridge

Local Host Organizations

Blount County Sister City Organization
 Chattanooga-Nizhni Tagil Sister City Committee- Department of
 Public Works
 Friendship Force – Knoxville
 Friendship Force – Memphis
 Friendship Force – Southcentral Tennessee
 Memphis Council for International Visitors
 Nashville Downtown Rotary
 Nashville Health Care Council
 National Peace Foundation – Johnson City
 Oak Ridge National Laboratory
 Oak Ridge Sister City Support Organization
 Rotary Club – Cookeville Breakfast
 Rotary Club – Memphis
 Rotary District 6780 – Chattanooga
 Sister City Association – Chattanooga
 Southwest Tennessee Community College
 Tullahoma Noon Rotary Club
 United Methodist Church – Alcoa
 United Methodist Church – Memphis
 United Methodist Church – Springfield
 U.S. Bankruptcy Court for the Middle District of Tennessee,
 Nashville
 U.S. Bankruptcy Court for the Western District of Tennessee
 – Nashville
 U.S. District Court for the Middle District of Tennessee
 – Nashville

University of Tennessee Institute of Agriculture International
 Programs – Knoxville
 University of Tennessee at Chattanooga
 Vanderbilt University Public Affairs Office – Nashville

Federal and State Host Judges

Jennie D. Latta, *Bankruptcy Judge* – Jackson
 Jon Phipps McCalla, *District Judge* – Memphis
 George Paine, *Bankruptcy Judge* – Nashville
 Thomas A. Varlan, *District Judge* – Knoxville
 Thomas A. Wiseman, Jr., *District Judge* – Nashville

TEXAS

National Grantees

El Paso Chapter of the Federal Bar Association
 United Methodist Church Russia Initiative Program

Local Host Organizations

Alamo Colleges, Houston
 American Foreign Policy Council – Fort Worth
 Baylor College of Medicine Chronic Disease Prevention and
 Control Research Center – Waco
 Carter Blood Care – Dallas
 Center for Safe Energy – Austin
 CMS Emergency
 Dallas Committee for Foreign Visitors
 El Paso Chapter of the Federal Bar Association
 Episcopal Church – Houston
 Episcopal Church – San Angelo
 Fayette Memorial Hospital, La Grange
 Fort Worth Sister Cities International*
 Friends of Ukraine – Longview
 Friendship Force – Austin
 Global North Texas – Dallas
 Houston Baku Sister Cities Association
 International Hospitality Council of Austin
 J. M. Dawson Institute for Church-State Studies – Baylor
 University, Waco
 Kilgore College Small Business Development Center – Longview
 Knowledge Management and Data Resources, Office of
 Community Outreach, University of Texas Medical Branch
 at Galveston
 Lamar University – Beaumont
 League of Women Voters of Tyler/Smith County
 North Harris College – Houston

Office of Environmental Justice and Tribal Affairs – U.S.
 Environmental Protection Agency Region 6 – Dallas
 Palo Alto College – San Antonio
 Panola Community College – Carthage
 Peace Links – Austin
 Peace Links – Temple
 Plano-Ivanovo Sister City Program
 Redeemed Ministries – Spring
 Richland College – Dallas
 Rotary Club – Burleson
 Rotary Club – Fredericksburg Morning
 Rotary Club – Friendswood
 Rotary Club – Frisco Noon
 Rotary Club – Grapevine
 Rotary Club – Harrisburg*
 Rotary Club – Hurst-Euless-Bedford
 Rotary Club of Houston Skyline – Houston*
 Rotary E-Club – Houston*
 Rotary Club – McAllen South
 Rotary Club – Mid-Cities Pacesetters
 Rotary Club – Northwest Austin
 Rotary Club – San Antonio North Central
 Rotary District 4790
 Rotary District 5730
 Rotary District 5830
 Rotary District 5890
 San Antonio Council for International Visitors
 Texas A&M University, Sponsored Student Programs Office
 – College Station
 Texas International Education Consortium*
 United Methodist Church – Russia Initiative
 United Methodist Church – Bonham
 United Methodist Church – Carrollton
 United Methodist Church – College Station
 United Methodist Church – Commerce
 United Methodist Church – Dallas
 United Methodist Church – Denton
 United Methodist Church – Eldorado
 United Methodist Church – Fort Worth
 United Methodist Church – Highland Village
 United Methodist Church – Houston
 United Methodist Church – Meridian
 United Methodist Church – Orange
 United Methodist Church – Saint Jo
 United Methodist Church – San Angelo
 United Methodist Church – San Antonio
 United Methodist Church – Terrell
 United Methodist Church – Tomball

United Methodist Church – Uvalde
 University of Texas at Austin
 World Affairs Council – Dallas/Fort Worth
 YMCA International Services – Houston

Federal and State Host Judges

Leif M. Clark, *Bankruptcy Judge* – Austin
 Ricardo H. Hinojosa, *District Judge* – Corpus Christi
 Frank Montalvo, *District Judge* – Austin

UTAH

National Grantees

International Hosting
 Church of Jesus Christ of Latter-Day Saints

Local Host Organizations

Brigham Young University Center for Law and Religion Studies
 Church of the Latter Day Saints – Salt Lake City
 Firefly, Inc., North Salt Lake
 Friendship Force of Utah, Salt Lake City
 International Hosting
 Izhevsk-Salt Lake City Partnership
 Dawson Institute for Church-State Studies – Baylor University
 Peace Links – Salt Lake City
 Salt Lake Chamber of Commerce
 Salt Lake City Community College
 Sundance Institute – Park City
 Tooele Sister Cities, Inc. – Tooele County
 U.S. Court of Appeals for the Tenth Circuit – Salt Lake City
 U.S. District Court for the District of Utah – Salt Lake City
 Utah Council for Citizen Diplomacy – Salt Lake City
 Utah State Legislature – Salt Lake City
 Utah State University, Center for Persons with Disabilities – Logan
 Utah Valley University, Office of International Affairs &
 Diplomacy – Orem

Federal and State Host Judges

Dee V. Benson, *District Judge* – Salt Lake City
 Leif M. Clark, *Bankruptcy Judge*
 David O. Nuffer, *Magistrate Judge* – Salt Lake City

VERMONT

National Grantee

International Rule of Law Consortium

Local Host Organizations

Ecologia, Middlebury

Lakenet

Russian American Rule of Law Consortium – Colchester

School of International Studies, St Michael's College – Colchester

Vermont Council on World Affairs – Burlington

Vermont Karelia Rule of Law Project, Inc. – Colchester

Vermont Law School – South Royalton

Vermont Supreme Court – Montpelier

VIRGINIA

National Grantees

National Center for State Courts

National Council for Traditional Arts

Norfolk Sister City Association

Partners for Community Solutions

Synetic Theater

Local Host Organizations

American Association of University Women – Reston/Herndon
Branch

American Foreign Policy Council – Alexandria

Arlington Sister City Association

Arlington Sister City – Ivano-Frankivsk Committee

Center for International Programs – Blacksburg

Eastern Mennonite University Center for Justice and
Peacebuilding – Harrisonburg

FHI360, Arlington

Fredericksburg Sister City Association, Inc.

Friendship Force – Central Virginia

Friendship Force – National Capitol Area

James Kent Inn of Court, Virginia Beach

League of Women Voters – South Hampton Roads

National Council for the Traditional Arts

National Peace Foundation – Fairfax

Norfolk Sister City Association, Inc.

Partners for Community Solutions, Christiansburg

Peace Links – Roanoke

Peace Links – Williamsburg

Rotary Club – Alexandria and Mount Vernon

Rotary Club – Bailey's Crossroads

Rotary Club – Blacksburg

Rotary Club – Falls Church
 Rotary Club – James City County
 Rotary Club – Leesburg
 Rotary Club – Lynchburg
 Rotary Club – Rappahannock
 Rotary Club – Richmond
 Rotary Club – Stafford
 Rotary Club – Vienna
 Terrorism, Transnational Crime and Corruption Center at George
 Mason University – Fairfax
 Town of Leesburg, Virginia
 Ukrainian American Environmental Association*
 United Methodist Church – Springfield
 United Methodist Church – Fulks Run
 Virginia Commonwealth University - L. Douglas Wilder School of
 Government and Public Affairs, Richmond
 U.S. District Court for the Eastern District of Virginia, Richmond
 World Music Folklife Center – Galax
 Zonta Club – Alexandria

Federal and State Host Judges

Thomas Selby Ellis III, *District Judge* – Alexandria
 Henry Coke Morgan, Jr., *District Judge* – Alexandria
 Anthony J. Trenga, *District Judge* – Alexandria

WASHINGTON

National Grantees

Battelle Memorial Institute/Pacific Northwest National Laboratory
 World Affairs Council of Seattle

Local Host Organizations

Battelle- Pacific Northwest National Laboratory
 Blooming Hill Vineyard
 Clark College – Vancouver
 Community Colleges of Spokane
 EarthCorps, Seattle
 Episcopal Church – Pasco
 Foundation for Russian American Economic Cooperation – Seattle
 Friendship Force of Eastern Washington and Northern Idaho
 Friendship Force of Greater Olympia*
 Global Education Service – Seattle
 Governor’s Interagency Committee of State-Employed Women
 (ICSEW) – Seattle
 League of Women Voters – Washington
 Lower Columbia College – Longview
 Nakhodka Sister City – Bellingham

Nuclear Oversight Program, Government Accountability Project
 Rotary Club – Anacortes
 Rotary Club – Bremerton
 Rotary Club – Columbia Center
 Rotary Club – Downtown Vancouver
 Rotary Club – Lewis River (Clark County)
 Rotary Club – Lynnwood
 Rotary Club – Richland
 Rotary Club – Sun City West
 Rotary Club – Tacoma #8
 Rotary Club – Wanatchee
 Rotary Club – West Seattle
 Seattle-Tashkent Sister Cities Association
 U.S. District Court for the Western District of Washington
 Whatcom Community College – Bellingham
 World Affairs Council – Seattle
 World Affairs Council/World Trade Center West – Seattle

Federal and State Host Judges

John C. Coughenour, *District Judge*, Seattle

WEST VIRGINIA

Local Host Organizations

Center for International Understanding, Inc – Princeton
 Friendship Force – Charleston
 Grapevine Rotary Club – Martinsburg
 Rotary Club – Cheat Lake
 Rotary Club – Morgantown
 Rotary Club – Morgantown North
 Shepherd College, Robert C. Byrd Center for Legislative Studies
 United Methodist Church – Fairmont
 United Methodist Church – Summersville
 U.S. District Court for the Southern District of West Virginia
 – Bluefield
 West Virginia Council of International Programs*

Federal, District, and State Host Judges

Omar J. Aboulhosn, *Federal Magistrate Judge* – Bluefield
 David Faber, *District Judge* – Charleston
 Ronald G. Pearson, *Bankruptcy Judge* – Charleston

WISCONSIN**National Grantees**

Northcentral Technical College
World Services of La Crosse, Inc

Local Host Organizations

American Foreign Policy Council – LaCrosse
American Foreign Policy Council – Madison
Amigos de Milwaukee Rotary Club
Appleton Area School District, Volunteer Services
American Association of University Women – LaCrosse Chapter
Bellin Health System (AIHA) – Green Bay
Center for International Education, St. Norbert College – De Pere
Center for International Understanding, Inc. – Milwaukee
Economic Development Corp of Manitowoc County Foundation
Fox Cities – Kurgan Sister Cities Program, Inc. – Appleton
Fox Valley Technical College – Oshkosh
Friends of Chernobyl Centers, U.S. (FOCCUS)
Friendship Force – Greater Milwaukee
Friendship Force – Madison
Greater Green Bay YMCA
Green Bay West Rotary Club
Heart of Wisconsin Business Alliance – Wisconsin Rapids
Hedberg Public Library – Janesville
Hudson Daybreak Rotary Club – Hudson
Institute of World Affairs, University of Wisconsin-Milwaukee
International Crane Foundation – Baraboo
International Institute of Wisconsin – Milwaukee
Jackson-Monroe-Vernon County Leadership Program
La Crosse Dubna Friendship Association
League of Women Voters – Door County
League of Women Voters – La Crosse Area
League of Women Voters – Milwaukee County
Madison Area Technical College
Marquette University College of Nursing – Milwaukee
Marshfield Rotary Noon Club, Marshfield
National Peace Foundation – Madison
New London Medical Center – New London
Northcentral Technical College – Wisconsin
Portage County Health and Human Services
Rotary Club – Beloit
Rotary Club – Hudson
Rotary Club – La Crosse
Rotary Club – Madison
Rotary Club – Milwaukee
Rotary Club – Oconomowoc
Rotary Club – Sheboygan*

RUS Global Initiatives
 Shawano Public Health (AIHA) – Shawano
 Sigurd Olson Environment Institute – Northland College
 Sparta Area School District
 Stevens Point-Rostov Veliky Sister City Project
 ThedaCare – Shawano
 United Methodist Church – Hudson
 United Methodist Church – Neenah
 University of Wisconsin – Barron County
 University of Wisconsin Extension – Juneau County
 University of Wisconsin – Marathon County
 University of Wisconsin at Marinette, Continuing Ed/Intl Students
 University of Wisconsin – Marshfield/Wood County
 University of Wisconsin – Richland
 U.S. District Court for the Eastern District of Wisconsin
 U.S. District Court for the Western District of Wisconsin
 Vernon County Office, Family and Children’s Center
 Western Technical College – La Crosse
 World Services of La Crosse, Inc

Federal and State Host Judges

Charles N. Clevert, *District Judge* – Milwaukee
 Barbara Crabb, *District Judge* – Racine
 Patricia Gorence, *Magistrate Judge* – Milwaukee
 Rudolph Randa, *District Judge* – Milwaukee

WYOMING

National Grantee

Vista360°, Inc. – Jackson

Local Host Organizations

Brown, Drew & Massey, LLP – Casper
 Friendship Force – Cheyenne
 Rotary Club – Kemmerer
 Vista 360°, Inc. – Jackson
 U.S. District Court for the District of Wyoming – Casper
 Wyoming Global Leadership Exchange – Jackson

Federal and State Host Judges

William F. Downes, *District Judge* – Casper



OPEN WORLD

LEADERSHIP CENTER

2020 Program Calendar

Arrival Date	Theme	Country	Host Organization	Hosting City
22-Jan	Local Legislators	Kazakhstan	Virginia Commonwealth University	Richmond, VA
	Governmental Management in the U.S.	Tajikistan	Global Ties Alabama	Huntsville, AL
	Local Legislators- Health Care Reform	Ukraine	Iowa Sister States	Des Moines, IA
	Local Legislators- Health Care Reform	Ukraine	Friendship Force Memphis	Memphis, TN
	Local Legislators/Legislative Issues- Budgeting/Finance	Ukraine	Springfield Commission on International Visitors	Springfield, IL
	Local Legislators/Legislative Issues- Budgeting/Finance	Ukraine	Global Ties Arkansas	Little Rock, AR
4-Feb	Members of Parliament - Expanding Women's Economic Participation	Kosovo	North California World Trade Center	Sacramento, CA
	Parliamentary Staffers	Georgia	Georgia2Georgia	Atlanta, GA
12-Feb	Information Technology Education to Employment	Kyrgyzstan	Council of International Programs USA	Chagrin Falls, OH
	Business and Innovation	Russia	South Dakota World Affairs Council	Brookings, SD
	Business and Innovation	Russia	Gulf Coast Citizen Diplomacy Council	Pensacola, FL
	Business and University Hubs/Incubators	Russia	Citizen Diplomacy International	Philadelphia, PA
	Business and University Hubs/Incubators	Russia	WorldDenver	Denver, CO
	Small and Medium-Sized Enterprises	Russia	Vermont Council of World Affairs	Burlington, VT
	Small and Medium-Sized Enterprises	Russia	International Institute of Buffalo	Buffalo, NY
26-Feb	Emerging Leaders: Youth-led Social Change	Armenia	Rotary Club of E. Wichita	East Wichita, KS
	Parliamentary Staffers	Moldova	Lincoln Council for International Visitors	Lincoln, NE
	Economic Development through Preservation and Presentation of Cultural Heritage	Serbia	Friendship Force, The Villages	The Villages, FL
	Urban Development/City Planning	Ukraine	San Antonio Council for International Visitors	San Antonio, TX

Arrival Date	Theme	Country	Host Organization	Hosting City
	Emergency Management/Response	Ukraine	Birmingham Sister Cities Commission	Birmingham, AL
	Corporate Social Responsibility/Community Development	Ukraine	Global Ties Detroit	Detroit, MI
	Corporate Social Responsibility/Community Development	Ukraine	U.S.-Ukraine Foundation	Silver Spring, MD
4-Mar	Women in Religious Organizations	Azerbaijan	United Religious Community	South Bend, IN
	Women in STEM	Russia	Friendship Force Madison	Madison, WI
	Women in STEM	Russia	Bridgewater Rotary Club	Bridgewater, MA
	Domestic Violence	Russia	County of Santa Clara/Moscow Sister County Commission	Santa Clara, CA
	Women Entrepreneurs	Russia	Colleagues International	Kalamazoo, MI
	Women Entrepreneurs	Russia	Northern Nevada International Center	Reno, NV
	Women Children's Librarians	Russia	Minisink Valley Rotary Club	Minisink Valley, NY
	Women and Entrepreneurship	Tajikistan	Global One to One	Albuquerque, NM
9-Mar	Members of Parliament	Ukraine	Utah Council for Citizen Diplomacy	Salt Lake City
26-Mar	Judicial Rule of Law	Kazakhstan	Rotary Club of Tallahassee	Tallahassee, FL
	Judicial Rule -Trafficking in Persons: Putting Laws Into Practice	Kyrgyzstan	World Affairs Council of Central Florida/Judge Paul G. Byron	Orlando, FL
	Judicial Rule of Law-Judicial Training	Russia	Rotary Club of Oklahoma City/Judge Stephen Friot	Oklahoma City, OK
	Judicial Rule of Law-Judicial Training	Russia	Norfolk Sister City Association/Judge Henry Coke Morgan	Norfolk, VA
27-Mar	Education Change Management (TESOL)	Kazakhstan	Friendship Force Denver	Denver, CO
31-Mar	Members of Parliament	Moldova	International Focus	Raleigh, NC
1-Apr	Urban Planning and Cultural Preservation	Georgia	Fort Worth Sister Cities International	Fort Worth, TX
	Women in Agriculture	Ukraine	Great Lakes Consortium for Training and International Development	Toledo, OH
	Amalgamated Territorial Communities- Economic	Ukraine	Modesto Sister Cities	Modesto, CA

Arrival Date	Theme	Country	Host Organization	Hosting City
	Development/Public-Private Partnerships			
	Amalgamated Territorial Communities- U.S. Partners	Ukraine	Cincinnati-Kharkiv Sister Cities Partnership	Cincinnati, OH
	NGO Development	Ukraine	Rochester Global Connections	Rochester, NY
	Amalgamated Territorial Communities- Agriculture	Ukraine	Alma Rotary Club	Alma, NE
16-Apr	The Judicial Sector's Role in Combatting Human Trafficking	Azerbaijan	WorldChicago/Circuit Executive Collins Fitzpatrick	Chicago, IL
	Judicial Rule of Law High Anti-Corruption Court Judges	Ukraine	World Trade Center Institute/Judges Richard Bennett and Anthony Trenga	Baltimore, MD
	Judicial Rule of Law – HACC Admin.	Ukraine	Friendship Force Greater Cincinnati	Cincinnati, OH
22-Apr	Investigative Journalism	Kyrgyzstan	World Affairs Council of Seattle	Seattle, WA
	Media/Journalism	Russia	Council of International Programs in Chicago	Chicago, IL
	Media/Journalism	Russia	Vermont Council on World Affairs	Burlington, VT
	Regional/Investigative Journalism	Russia	GlobalPittsburgh	Pittsburgh, PA
	Regional/Investigative Journalism	Russia	Paso Roble Rotary Club	Paso Robles, CA
	Media Literacy	Russia	International Visitors Council of Los Angeles	Los Angeles, CA
	Media Literacy	Russia	Friendship Force Lincoln	Lincoln, NE
	Sister Cities – Cleveland/Volgograd	Russia	Council of International Programs USA	Cleveland, OH
	Women in STEM	Russia	Friendship Force of Boston	Cambridge, MA
	eGovernance and Governmental Accountability in the Digital Age	Uzbekistan	World Affairs Council of Rhode Island	Providence, RI
27-Apr	Members of Parliament	Armenia	WorldMontana	Helena, MT
6-May	Combatting Domestic Violence and Sexual Assault	Armenia	Council of International Programs Phoenix (Empower International LLC)	Phoenix, AZ
	Inclusion Issues	Ukraine	Utah Council for Citizen Diplomacy	Salt Lake City, UT
	Serving Victims of War-PTSD	Ukraine	GlobalJax	Jacksonville, FL
	Commemorating Fallen Soldiers	Ukraine	Global Ties Kansas City	Kansas City, MO

Arrival Date	Theme	Country	Host Organization	Hosting City
	Serving Victims of War- War Injuries, Treatment and Rehabilitation	Ukraine	Combined Arms	Houston, TX
	Women Veterans' Issues	Ukraine	West Virginia Council of International Programs	Morgantown, WV
	Women Veterans' Issues	Ukraine	Global Ties Akron	Akron, Ohio
12-May	Members of Parliament	Uzbekistan	Santa Fe Council on International Relations	Santa Fe, NM
12-May	Parliamentary Secretary Generals Armenia, Azerbaijan, Belarus (2), Georgia (2), Moldova	Eastern Partnership Countries	International Visitors Center of Columbus	Columbus, OH
27-May	Combatting Disinformation	Ukraine	Carbondale Rotary Club	Carbondale, IL
	Combatting Disinformation	Ukraine	Friendship Force Birmingham	Birmingham, AL
	Media Literacy	Ukraine	World Affairs Council of Kentucky and Indiana	Louisville, KY
	Local Legislators- Anti-Corruption	Ukraine	Mid-Cities Pacesetters Rotary Club	Bedford, TX
	Political Prisoners/Activists	Ukraine	Friendship Force Atlanta	Atlanta, GA
	Sustainable Tourism in Rural Environments	Turkmenistan	Pagosa Springs Rotary Club	Pagosa Springs, CO
	NC/Moldova Partnership	Moldova	TBD	TBD
30-May	Supporters of Civil Society	Russia	Supporters of Civil Society	St. Louis, MO
2-Jun	Parliamentary Staffers	Georgia	TBD	TBD
3-Jun	Parliamentary Staffers	Kazakhstan	Dacotah Territory International Visitor Program	Bismarck, ND
	Social Entrepreneurship: A U.S. Model	Belarus	Fox Valley Technical College	Appleton, WI
	Sister Cities	Russia	Tulsa Global Alliance	Tulsa, OK
	Sister Cities	Russia	Grants Pass Sister City Committee	Grants Pass, OR
	Sister Cities/Social Responsibility	Russia	White Bear Lake Rotary Club	White Bear Lake, MN
	Public Defenders	Russia	Waupaca Rotary Club	White Rose, WI
	Prevention of Elder Mistreatment and Exploitation/Sister-City	Russia	Linkages of Rochester	Rochester, NY
	Sports for at Risk Youth	Tajikistan	Boulder Dushanbe Sister Cities	Boulder, CO
11-Jun	Judicial Rule of Law – Impact of Precedent on the U.S. Judicial System	Armenia	Advisory Commission in International	Great Falls, MT

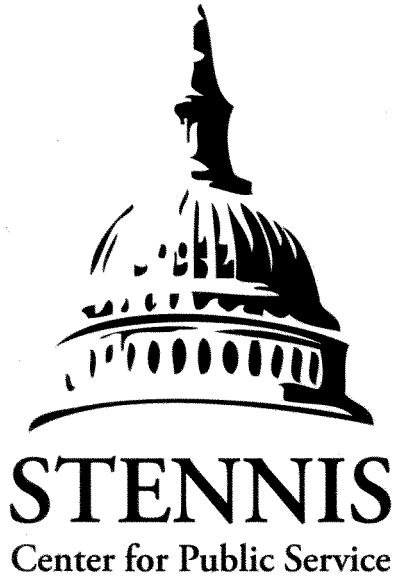
Arrival Date	Theme	Country	Host Organization	Hosting City
			Relationships/Judges Brian Morris and John Johnston	
	Judicial Rule of Law- Judicial Efficiency in Criminal Proceedings	Serbia	Fort Worth Sister Cities/Chief Judge Barbara M.G. Lynn	Fort Worth, TX
	Judicial Rule of Law	Uzbekistan	TBD	TBD
15-Jun	Members of Parliament	Kosovo	Global Ties Kansas City	Kansas City, KS
8-Jul	Parliamentary Staffers- Introduction to Legislative Research	Kyrgyzstan	WorldMontana	Helena, MT
	Sports for Youth with Disabilities	Turkmenistan	Albuquerque Sister cities Foundation	Albuquerque, NM
	Community Centers for Seniors and Families	Ukraine	Carolina Village	Hendersonville, NC
	Health Care Management/Hospital Administration	Ukraine	Chambersburg Rotary Club	Harrisburg, PA
	Health Care Management/Hospital Administration	Ukraine	Friendship Force Houston	Houston, TX
	Combatting Infectious Diseases/Outbreak Response	Ukraine	Global Ties Akron	Akron, OH
16-Jul	Judicial Rule of Law	Mongolia	TBD	TBD
	Judicial Rule of Law/Administration	Mongolia	TBD	TBD
21-Jul	Members of Parliament	North Macedonia	Friendship Force Cheyenne	Cheyenne, WY
28-Jul	Parliamentary Staffers	Georgia	Friendship Force Kansas	Wichita, KS
8 Sep	Members of Parliament	Mongolia	GlobalAustin	Austin, TX
16-Sep	Cybersecurity	Estonia	University of Maryland Baltimore County	Baltimore, MD
	National Park Management and Mapping	Ukraine	Friendship Force Reno-Tahoe	Tahoe, NV
	National Park Management and Mapping	Ukraine	Friendship Force Big Canoe	Big Canoe, GA
	Cybersecurity	Ukraine	San Antonio Council for International Visitors	San Antonio, TX
	Energy Security	Ukraine	Blount County Sister City Organization	Maryville, TN
	Energy Diversification/Renewable Energy	Ukraine	Modesto Sister Cities	Modesto, CA
	Energy Diversification/Renewable Energy	Ukraine	Vermont Council of World Affairs	Burlington, VT
22-Sep	Parliamentary Staffers	Ukraine	Northern California World Trade Center	Sacramento, CA

Arrival Date	Theme	Country	Host Organization	Hosting City
23-Sep	NGO Management and Civil Society	Kazakhstan	Columbia Center Kennewick Rotary Club	Kennewick, WA
	Education in the United States	Tajikistan	Hillsdale Rotary Club	Hillsdale, MI
	The Senator Ben Nelson Fellows- TB and HIV	Russia	University of Nebraska Medical Center	Omaha, NE
	Sister Cities	Russia	Sister Cities Association of Sarasota	Sarasota
	Sister Cities	Russia	Long Beach-Sochi Sister City Association	Long Beach, CA
	Sister Cities	Russia	Vladimir-Canterbury Sister Cities	Bloomington/Nor mal, IL
	Sister Cities/Responsible Citizenry	Russia	Maryland-Leningrad Sister States	Annapolis, MD
	Sister Cities/Health and Pediatric Ophthalmology	Russia	Winfield Rotary Club	Winfield, KS
	Sister Cities/Education and Social Adaptation of Children with Disabilities (Kostroma)	Russia	Sister Cities of Durham	Durham, NC
	Children Burn Rehabilitation	Russia	Longmont Rotary Club	Longmont, CO
28-Sep	Members of Parliament	Moldova	TBD	TBD
1-Oct	Judicial Rule of Law- Corruption: Economic Related Crimes	Kosovo	International House/Judge Frank D. Whitney	Charlotte, NC
	Judicial Rule of Law	Moldova	Palmetto Council for International Visitors	Columbia, SC
	Judicial Rule of Law	North Macedonia	TBD	TBD
	Prosecutors	Mongolia	TBD	TBD
7-Oct	American Corners Community Engagement	Azerbaijan	University of Maryland Baltimore County	Baltimore, MD
	Inclusion, Diversity, and Equality	Georgia	Tulsa Global Alliance	Tulsa, OK
	Education in the 21 st Century	Serbia	Sunrise Rotary Club	Ontario, CA
	Fighting Corruption in Education- Plagiarism/Academic Integrity	Ukraine	GlobalPittsburgh	Pittsburgh, PA
	Fighting Corruption in Education- Institutional and Program Accreditation	Ukraine	Global Ties Kansas City	Kansas City, KS
	Inclusive Education	Ukraine	International Cultural Education Association	Round Lake, IL
	Bilingual and Minority Language Education	Ukraine	International Visitors Council of Los Angeles	Los Angeles
	Education/STEM	Ukraine	Friendship Force Greater Milwaukee	Milwaukee, WI

Arrival Date	Theme	Country	Host Organization	Hosting City
	Secondary School Innovation	Ukraine	People to People International	Grenada Hills, CA
	Public Service	Ukraine	Gulf Coast Diplomacy Council	Pensacola, FL
21-Oct	Think Tank Specialists	Armenia	International Center of Syracuse	Syracuse, NY
	Smart Cities/Environmentalism	Belarus	Concord Rotary Club	Concord, CA
	National Parks/Conservation	Russia	Friendship Force Olympia and Friendship Force Lower Columbia	Olympia, WA
	Waste Management	Russia	San Leandro Rotary Club	Castro Valley, CA
	Sister Cities/Public-Private Response to Emergencies	Russia	Archangel Committee	Portland, ME
	Agriculture in the Modern Market	Uzbekistan	Seattle-Tashkent Sister Cities Association	Seattle, WA
24-Oct	Supporters of Civil Society	Russia	Supporters of Civil Society	Chicago, IL
4-Nov	Designing a Successful Entrepreneurial and Innovation Zone/Incubator	Kosovo	World Affairs Council of Cincinnati and Northern Kentucky	Cincinnati, OH
	Regional Sustainable Economic Development	Moldova	Great Lakes Consortium for International Training and Development	Toledo, OH
	Women Entrepreneurship	Ukraine	Lafayette Rotary Club	Indianapolis, IN
	Business Infrastructure/Investment Promotion	Ukraine	East Texas Friends of Ukraine	Longview, TX
	Amalgamated Territorial Communities- Economic Development/Public-Private Partnerships	Ukraine	U.S.-Ukraine Foundation	Arlington, VA
	Organizational Infrastructure/Creation of Boards/Financial Transparency	Ukraine	TBD	
	Public Policy and Governance	Ukraine	TBD	
10-Nov	Members of Parliament	Ukraine	International Visitors Council of Columbus	Columbus, OH
2-Dec	Youth Leadership and Community Involvement	Azerbaijan	Friendship Force International	Durham, NH
	Engagement of Youth in Volunteerism and its Techniques	Kosovo	Friendship Force Cedar Rapids	Cedar Rapids, IA
	Advocacy for Special Needs	Ukraine	Citizen Diplomacy International	Philadelphia, PA
	NGO Development-Fundraising, Volunteerism, and Oversight	Ukraine	Global Ties Arkansas	Little Rock, AR

Arrival Date	Theme	Country	Host Organization	Hosting City
	NGO Development - Scouting	Ukraine	Global Ties Detroit	Detroit, MI
7-Dec	Members of Parliament	Serbia	Santa Fe Council on International Relations	Santa Fe, NM
9-Dec	Social Inclusion	Belarus	San Antonio Council for International Visitors	San Antonio, TX
	Parliamentary Staffers	Tajikistan	People to People International Greater Phoenix Chapter	Phoenix, AZ
	Employment Opportunities for Persons Disabilities	Russia	World Affairs Council of St. Louis	St. Louis, MO
	Access for Migrant Community to TB and HIV Prevention and Treatment	Russia	GlobalJax	Jacksonville, FL

John C. Stennis Center for Public Service
FY 2021 Budget Request



Stennis Center for Public Service Congressional Training and Development Budget Request for Fiscal Year 2021

Introduction

Congress created the John C. Stennis Center for Public Service Training and Development in 1988 (PL 100-458) as an agency of the Legislative Branch specifically to 1) attract young people to public service; 2) offer development opportunities to Congressional staff, and; 3) provide training for leaders in or likely to be in public service. The Stennis Center is governed by a Board of Directors¹ appointed by the Speaker and the Minority Leader of the U.S. House of Representatives and by the Majority and Minority Leaders of the U.S. Senate. It has offices in Starkville, Mississippi, and Washington, D.C.

Congressional staff training and development activities are one of the focal points for the Stennis Center's work. The core of this effort is a unique bipartisan, bicameral training and development program for senior-level Congressional staff known as the Stennis Congressional Staff Fellows program. Since the program began in the 103rd Congress, work with Congressional staff has been expanded to include a mentoring program for junior staff and a program for summer interns working in Congressional offices. The Stennis Center also conducts programs connecting Congressional staff leaders with military leaders, as well as a variety of other learning opportunities presented to Congressional staff during each Congress.

The Stennis Congressional Staff Fellows program brings together House and Senate chiefs of staff, committee staff directors, legislative directors, and other senior professional staff leaders in an extensive leadership development program focused on issues confronting the Congress as a vital institution of American democracy. Each Congress, an independent committee selects up to 34 Congressional staff nominated by Members of Congress. The aim of the program is to strengthen the capacity of these staffers to confront the challenges facing the Legislative Branch and thereby to better serve Members and their constituents.

This program is modeled on executive development programs available in the Executive Branch and in the private sector, but it is designed specifically for the unique needs of senior-level staff in Congress. By bringing together Congressional staff expressly to strengthen their leadership skills and to build bipartisan, bicameral relationships, the program fills a need that is not addressed by any other program. To date, almost 400 Stennis Fellows have participated in the program, many of whom continue to be involved in the Stennis Center's activities as Senior Stennis Fellows.

Stennis Congressional Staff Fellows Program Mission:

- Enhance the capacity and commitment of exceptional senior-level staff members to “Look Ahead” to what will be needed to better serve Congress and its Members in a world of rapid change;
- Foster dialogue and the exchange of ideas among senior-level staff members in a neutral venue, and create a valuable network of bipartisan, bicameral working relationships;
- Produce a useful result—an ongoing legacy of learning—for those who care about the long-term effectiveness of Congress as a governing institution; and
- Recognize and honor senior-level staff of the House and Senate who have demonstrated outstanding leadership in public service.

One of the ways Senior Stennis Fellows continue to support Congressional public service training and development is through the Emerging Congressional Staff Leaders program. Begun in the 106th Congress, this mentoring program was created for staff members who have served less than five years on Capitol Hill but have demonstrated a commitment to Congress and potential for future leadership. Emerging Leaders pair with Senior Stennis Fellows over several months to learn how to be more effective in their jobs. Their one-on-one mentoring and group discussions include, but are not limited to, legislative procedures used on the House and Senate floors, the nexus between policies and politics, and how to help their Members achieve legislative goals. The Emerging Leaders also develop internal relationships that bridge party and chamber boundaries. Nearly 200 young staffers have participated in this program since its inception.

Additionally, the Stennis Center conducts a program for selected summer interns in the Congress that enhances their intern experience. Senior Stennis Fellows share their insights and expertise through a series of forums and interactive experiences that reveal both the real workings of the Congress as well as the challenges and rewards of Congressional public service. Since the program began in 2003, nearly 500 Congressional interns have participated.

The Stennis Center also provides other learning opportunities for senior staff, including programs for Senior Stennis Fellows. For example, senior Congressional staff members are regularly brought together with senior military leaders to increase awareness and understanding between the military and civilian spheres of responsibility. Joint programs have also been conducted with the Wharton School at the University of Pennsylvania and the Harry S. Truman Scholarship Foundation bringing senior Congressional staff together with upcoming business leaders and public service scholars, respectively. The Stennis Center has also partnered with the John F. Kennedy School of Government at Harvard University, connecting current Stennis Fellows and Senior Stennis Fellows with Harvard faculty and researchers examining how Congress can best work through political polarization to pass vital legislation.

In addition to the Congressional Staff Training and Development activities, the Stennis Center conducts a wide array of programs for young people interested in public service as well as women in public service at all levels of government.

The Stennis Center has created a new program that is intended to “foster a sense of civic responsibility among the youth of the United States,” which is straight from the center’s enabling legislation P.L. 100-458—Oct. 1, 1988; Subtitle B. The new program is known as the Stennis Service Corps (SSC). The key components of SSC will be to encourage national service/volunteerism and to promote public service as a career choice. The program’s motto is “Public Service: Learn by Doing.” SSC establishes a goal of having secondary and post-secondary students, along with college students, contribute at least 50 service hours at a government agency—at any level of government—or at a non-profit organization. The service hours will be tracked using a service database, and once the service hours are fulfilled, students will be recognized with a certificate and made eligible to qualify for a public service fellowship. The fellowship will support opportunities for college students to intern at government or non-profit organizations during the summer. The fellowship will include a \$5,000 stipend.

The Stennis Center plans on reaching out to all 435 representatives and 100 senators to inform them about the new program. The Stennis Center will request that members promote the program in their respective districts. The Stennis Center will also request that Senior Stennis Fellows consider hiring SSC fellowship recipients for summer internships. Although the program is set to begin this calendar year, fellowships will not be given out until next year. The Stennis Center is not requesting any additional funds for this new program in FY 2021.

FY 2021 Budget Request: \$430,000

While most Stennis Center programs are funded from interest earned on the Stennis Center’s \$7.5 million trust fund established by Congress in 1988, Congress began funding the Stennis Center’s Congressional staff training and development programs in FY 2006 through an annual appropriation (as authorized in 2 USC 1109). This annual funding was necessitated by a decline in interest income from the trust fund, which is required to be invested in U.S. Treasury securities. Interest income had declined from 9.125 percent when the fund was established to 3.5 percent in 2006. As interest rates have continued to decline (currently at 2.375 percent), the annual appropriation for Congressional staff training and development has become critical to enabling the Stennis Center to maintain its high standard of commitment to the Congressional staff programs without eliminating other programs.

The Congressional Staff Training and Development activities are conducted in a two-year cycle that corresponds to the Congressional calendar. Because of this, expenses for the programs generally peak during the second session of Congress. For FY 2021, the first session of the 117th Congress, the \$430,000 appropriation is expected to equal program costs. In FY 2022, total expenses are expected to be more than the \$430,000 appropriation. This shortfall in the annual appropriation will be covered by earnings from the trust fund.

The Stennis Center strives to present the highest quality programs for Congressional staff at the lowest possible cost. Actual expenditures for these programs in FY 2019 included: employment of staff to conduct the programs totaling \$155,400; direct program costs including speakers, facilities, travel, food and lodging at \$223,700; office lease and utilities at \$45,200; printing, copying and postage at \$1,500; and equipment and supplies at \$4,200.

The \$430,000 appropriations request for FY 2021 is essential to enable the Stennis Center to continue to provide training and development opportunities to Congressional staff as mandated by its authorizing legislation. Without the appropriation, the highly successful Congressional Staff Fellows, Emerging Leaders, and Congressional Intern programs would be severely reduced, if not eliminated.

FY 2021 Budget Request Detail

Congressional Staff Programs (by Program Activity)

Stennis Congressional Staff Fellows Program	\$277,500
Emerging Congressional Staff Leaders Program	35,000
Stennis Leadership Program for Congressional Interns	35,000
Civil-Military Leadership Program for Members and Staff	41,500
Senior Stennis Congressional Staff Fellows Program	<u>41,000</u>
Total	\$430,000

(by Object Classification)

Personnel	\$145,400
Direct Program Costs (including speakers, facilities, travel, food and lodging)	231,600
Office Lease and Utilities	47,500
Printing, Copying and Postage	1,500
Equipment and Supplies	<u>4,000</u>
Total	\$430,000

Conclusion

As a Legislative Branch agency established to promote and strengthen the highest ideals of public service, the Stennis Center is uniquely positioned to provide training and development opportunities for Congressional staff. Like their counterparts in the Executive Branch and similar to professionals in the private sector, Congressional staff benefit from opportunities to strengthen their skills through training and development. Furthermore, the design of the Stennis Center's Congressional staff programs enables staffers across chamber and party lines to learn from each other and build relationships that would otherwise not be possible.

While the individual Congressional staff leaders who participate in Stennis Center programs benefit greatly from the experience, there are also significant benefits to the Members of Congress they serve, and to citizens as these staff strengthen their skills. And perhaps there is no greater beneficiary than the institution they serve – the U.S. Congress. The primary focus of the program is to strengthen the effectiveness of Congress to fulfill its Constitutional role as a vital institution of American democracy. To meet the demands and complexities of a rapidly changing nation, Congressional staffers must continually sharpen their skills and expand their understanding.

The Stennis Center will use the \$430,000 appropriation requested to accomplish its Congressional mandate to provide Congressional staff training and development opportunities, while it continues to achieve its broader mission to promote and strengthen public service. The Stennis Center is grateful for the opportunity to work with such highly-qualified individuals who are committed to public service in the Legislative Branch and who are eager for opportunities to further develop their abilities.

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– List of current board members.

Chris Coons
U.S. Senator from Delaware

Thomas A. Daffron
Former U.S. Senate Chief of Staff

Gregg Harper
Former U.S. Representative from Mississippi

Martha Roby
U.S. Representative from Alabama

Terri A. Sewell
U.S. Representative from Alabama

Roger F. Wicker
U.S. Senator from Mississippi

Brian A. Pugh, Ph.D.
Executive Director of the Stennis Center for Public Service